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ABSTRACT

This volume documents two program sessions that reported on the Association of American Universities' (AAU) Research Libraries Project. This project was initiated by the AAU in collaboration with ARL and with the support of the Andrew W. Mellon Foundation; interim reports from the AAU task forces were presented in October 1993 and have been published elsewhere. Program Session 4 consisted of a brief introduction by Duane E. Webster, Executive Director of the ARL, and a panel discussion on work in progress on the Research Libraries Project to examine the potential for improved productivity of research libraries through new technology. Work to date in the areas of networking, copyright and intellectual property, and foreign acquisitions is outlined. Session 5 contained the following presentations: (1) "Foreign Language Resources" (Paul Mosher); (2) "Intellectual Property in an Electronic Environment" (Joe A. Hewitt); (3) "Scientific and Technological Resources" (Susan K. Nutter); and (4) "Discussion" (John Black). Proceedings of the business meeting are summarized as well. Five appendixes present project reports and reports on various ARL activities, lists of member libraries, and a conference attendance list. (SLD)

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TRANSITIONS AND TRANSFORMATIONS

ASSOCIATION OF RESEARCH LIBRARIES PROCEEDINGS OF THE 123RD MEETING PART II

Arlington, Virginia

ED 375 838

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Transitions and Transformations

Association of Research Libraries
Proceedings of the 123rd Meeting, Part II

Arlington, Virginia
October 20-22, 1993

Susan K. Nutter, Presiding

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TRANSITIONS AND TRANSFORMATIONS

FOREWORD

Electronic communication and computing technology provide fundamentally new ways of collaborating in the conduct of research, as well as the dissemination of its results. This rapidly developing electronic environment also provides university faculties and students with new options for the collection and dissemination of scholarly information. This report addresses the present and future of scholarly communication with particular reference to the research libraries that bear so much of the responsibility for making that communication possible.

This volume is Part II of the proceedings of the 123rd ARL Membership Meeting. Part I, published in March 1994, contains the reports of program sessions that dealt with the emerging information infrastructure in the U.S. and Canada. Part II includes program sessions about the Association of American Universities' Research Libraries Project. The AAU initiated the Research Libraries Project in collaboration with ARL and with the support of The Andrew W. Mellon Foundation. Interim reports from the AAU task forces were presented to the AAU Presidents and Chancellors, and the ARL Membership in October 1993. They provide a snapshot of the work of the project at its midpoint. The interim reports and discussions about them are published here and serve to trace the evolution of the recommendations of the task forces.[1]

Also included in Part II are the Membership Business Meeting and a report on Association activities, completing the full record of ARL's 123rd Membership Meeting.

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[1] ARL published the final AAU task force reports: *Association of American Universities Research Libraries Project: Reports of the AAU Task Forces.* ISBN 0-918006-22-8. Association of Research Libraries, Washington, DC: May 1994.

PROGRAM SESSION IV

TRANSITIONS AND TRANSFORMATIONS

INTRODUCTION

Duane E. Webster
ARL Executive Director

MR. WEBSTER: Welcome to the Program Session on Transitions and Transformation. This is going to be a presentation involving the leadership of several organizations that are actively engaged in influencing change in research libraries and scholarly communications. As we've already seen from the presentations and discussions yesterday, the traditional ways in which we provide access to information are being superseded by a new generation of technological and communication advances. These advances have the potential to drastically alter the way in which we meet the information needs of the scholarly community.

The Mellon Foundation and the Association of American Universities are helping us examine the impact of this communications revolution upon research libraries and the scholarly communication process. Their involvement promises to support constructive innovation and the development of useful ideas. In the first part of the program this morning, we will learn more about the responses to The Andrew W. Mellon Foundation study, *University Libraries and Scholarly Communication*. The Mellon study argues that the transformation of research libraries should be guided by long-term strategies conceived to assure the equitable access to information required to further the development of knowledge and learning.

Richard Ekman is the secretary of the Mellon Foundation and one of the authors of the Mellon report. He is a long-time friend of libraries, having served as Director of Research at the National Endowment for Humanities prior to going to Mellon. Rich will describe the responses made to the Mellon study to date, and I also hope that he will comment on the directions that Mellon is planning to take to move forward the findings of that study.

Rich.

PANEL

Richard Ekman
The Andrew W. Mellon Foundation

Richard West
University of California

Ann Okerson
Director, Office of Scientific and Academic Publishing

John H. D'Arms
University of Michigan

John Vaughn
American Association of Universities

MR. EKMAN: I am amazed that so many are here at such an early hour. Let me assure you that I will not summarize the findings of the Foundation's report on university libraries and scholarly communication. You've heard me do that on previous occasions. Rather, I want to describe some of the responses to the report.

As you know, almost 5,000 copies have been printed and distributed either free or at subsidized rates. An electronic version of the report is now available, also. Most encouraging to us has been the fact that many of the orders have been for clusters of five, ten, twenty copies, or more, suggesting that the report is being used on campus in the ways we had hoped. It is apparently being provided to members of diversely constituted committees and councils that are concerned with the inter-related questions of library operations, computer network plans, scholarly communication, the condition of the university press, and so on. The report is serving, we gather from anecdotes, as something of a "common denominator" that brings people with varying degrees of prior knowledge of this subject to a useful starting point for their discussions. We are very pleased about that.

In addition, the report has been reviewed in journals both within and beyond the library community. After the report's appearance in January, the first notice to appear was a large article in the February 17, 1993, issue of the *Chronicle of Higher Education*. The article presents a balanced and objective summary of the report's contents. The headline, I should say, is more apocalyptic: "Research libraries said to face an era of tumultuous change." Other reviews have followed in journals read primarily by librarians. The April 15 *Library Journal* carried a large article, also objective, but with the "spin" that somehow libraries are not getting their fair share of university budgets. The *Wilson Library Bulletin* noted in a short review in May 1993 that the report provides useful information for ongoing discussions and notes that "the difficulty will be persuading academic administrators and leaders to read and understand the importance of what is said here." A longer review in *College and Research Libraries* appeared in July 1993, written by Charles Osburn, who I know is here today. Charles' review is reasonably complimentary, but he did criticize the report for its lack of an index. Charles, we hope that the electronic version will make the contents of the report more readily accessible. The only truly negative review that I have seen so far appeared in a journal called

Against the Grain, which I had not heard of previously but which I gather is read widely in the library community. That review faulted the report for failing to provide a complete picture of the economics of research libraries.

The report has been reviewed outside the library community as well. *Bryn Mawr Classical Review*, which is an electronic journal, devoted quite a lot of space to it, as did the newsletter of the International Association of Scholarly Publishers. The April 1993 *Newsline* of the National Association of State Universities and Land-Grant Colleges devoted almost a full page to the report under the sympathetic headline, "Saving the Endangered Research Library." Perhaps the most influential of the reviews thus far, however, has been the four-page summary that appeared as a separate flyer as a "Strategy Report" of the Higher Education Information Resources Alliance. I am told that this flyer has attracted the attention of many university and college presidents. There has even been some international coverage, with the Canadian *CAUT Bulletin* reviewing the piece. And within the next week or so, the British *Times Literary Supplement* is likely also to carry a review.

Our concern from the beginning has been getting the predicament of libraries understood beyond the library community itself. The AAU/ARL project, which you will hear more about in a few minutes, is one principal means for doing that. As another approach to promoting understanding of library issues, Duane Webster and I participated in a meeting of the American Council of Learned Societies in which there was a great deal of interest expressed in these issues. I must say, however, that Duane and I volunteered to the learned executive directors our willingness to meet with the committees of their organizations that are concerned with these issues. There has been little follow-up thus far. Conversations with the American Association of University Presses and with the Association of American Publishers have also taken place. The job is not done; we still have a way to go.

At The Andrew W. Mellon Foundation, our ongoing interest in libraries is showing up in somewhat new ways. In our Liberal Arts Colleges program, for example, we have for a number of years been concerned with efforts to increase the educational and administrative efficiency and effectiveness of these institutions through efforts to consolidate, streamline, and reorganize operations. Lately, we have put more emphasis on inter-institutional collaboration and, not surprisingly, in conversations with college presidents, the library frequently is mentioned as an arena in which more collaboration is possible and desired. Most of the efforts so far seem to be conceived as efforts among similar institutions — that is, groups of small colleges -- and I wonder if people in this room might want to take more of an initiative to inform nearby small colleges about the potential for cooperation, particularly using electronic means, that exists for groups of institutions that are dissimilar in many ways. It can only be helpful to make the large research libraries and statewide networks appear less formidable.

In the Foundation's area studies work, as well, libraries are appearing more prominently. Recently, we announced a new initiative in our Latin American studies program to attempt to bring important research collections throughout the Western hemisphere into an inter-connected and better organized system. We think this goal is feasible under current circumstances: not only is there great interest on the part of many of the strongest libraries in Latin American studies in exploring the possibility of cooperation and some cooperative activity already underway, but Latin American materials are relatively inexpensive and Latin American studies is a "boom" field in the United States at both the undergraduate and graduate levels. To help us get this initiative off the ground, Jerry Campbell, vice provost and librarian at Duke University, is hosting a meeting of some dozen or so representatives of the organizations that already have a stake in this longer-term goal. The meeting will be in mid-November in Durham.

The third aspect of the Foundation's work that ought to be noted here is the program of support for research libraries themselves. As some of you know, our main interest is in exploring ways to test the long-term economic feasibility of various approaches to the use of new technologies in library access, scholarly communication, and publishing. We hope over the next six months or so to identify perhaps two dozen projects, carefully selected so that a range of characteristics is represented that one might regard as variables about which one would want

to know more about feasibility. No details have been set, but you could well imagine that we would want to have some variety by field (sciences, humanities, and social sciences) type of information that is being handled (books, journals, raw data, and multi-media), and the organizational auspices of the project (university press, commercial press, library, learned society, library service organization) It would also be interesting to test the differences between a large volume or small volume of users, the difference between a journal that exists simultaneously in electronic and print forms versus one that exists only in electronic form and, of course, it would be important to test different pricing schemes.

Let me emphasize that it is unlikely that the Foundation will be able to do all these things, at least in the near term, and our interest at the moment is focused primarily on journals, which seem to be the biggest single contributing factor to the rise in costs of libraries. Given the Foundation's traditional interests in the humanities and social sciences and the fact that the most well-advanced efforts to use electronic approaches to journal publication and distribution are in the sciences, we are likely to be interested in learning about experiments in a range of fields. Any project that the Foundation supported would necessarily bear substantial information-gathering responsibilities.

Our main goal remains increased understanding of these issues and helping institutions find feasible ways to take action. Institutional change will come slowly, no doubt, but I am happy to say there are at least three fronts on which matters are moving rapidly. These are represented by the three task forces of the AAU/ARL project, and I will yield the floor to them now.

Thank you.

MR. WEBSTER: Thank you, Rich. I'm really pleased that we've had this opportunity to hear the Mellon foundation's intention and what directions they plan to take as a follow up to the Mellon study.

Certainly one way the Mellon Foundation is pushing forth on their interest in research libraries is their support of the AAU project — the Research Libraries Project at the Association of American Universities. This effort started about two years ago with discussions within the Education Committee at AAU. A discussion centered around a paper prepared by ARL and entitled "Challenges Facing Research Libraries." That discussion, I believe was chaired by George Rupp — then at Rice, now at Columbia — resulted in George convincing Hanna Gray — then at Chicago, now retired — to initiate the project.

The project was intended to secure university-wide discussion of a set of issues, particularly from the point of view of action. What can be done to help to engage some of the pressures that work on research libraries; to be able to address them, both in the short-term, and, in the longer term, to contain cost and to extend access?

The topics we chose to focus on, as you know, included the problem of access to foreign imprints, the management of scientific and technical information, and the range of questions and concerns around intellectual property and copyright issues. Task forces were set up. In the three task forces, we've been able to secure the active interest of over three dozen individuals from the academic community — librarians, faculty, technologists, academic administrators — and we've also been able to continue to engage the interest of the presidents, in the form of a Presidential Steering Committee, now chaired by Myles Brand from the University of Oregon.

You all received, prior to this meeting the interim reports from the AAU Task Forces [Appendix I]. As recently as Monday of this week, the full membership of AAU had an opportunity to hear the chairs of the task forces present the highlights of these interim project reports. This morning's panel will give you that same opportunity. We were quite fortunate that two of the three chairs could join us today. They were in Indianapolis on Monday for the AAU presentation and agreed to add to their travel burdens this trip to Washington. Unfortunately, Peter Nathan from the University of Iowa was fogged in in Cedar Rapids last night, so he was kind enough to fax us his comments, and Ann Okerson will present those. Actually, this was an intent to secure a better balance of males versus females on the panel this morning.

I've also asked John Vaughn, who is our key contact at AAU, to join us on the panel today, in order to both provide us with his observations on the President's reactions to the reports this week and his sense of how this project is fitting into AAU's agenda.

From a process point of view, I would like to have the panelists provide a few comments. We'll then have a chance for questions in this plenary session. We also hope that you will join us in a series of smaller group discussions in which each topic will have a room and a panel devoted to hearing your views and reactions to the study. We think it is of fundamental importance at this point in the project — with preliminary work completed, findings available, recommendations starting to be embraced — that you have a chance to hear what those are, that you have a chance to comment on them, and that you have a chance to influence them.

I can assure you one of the first and most persistent questions from the presidents earlier this week was what do *you* think? What do the ARL directors think of the approaches being envisioned? Are they supportive? Are they interested? Have they had a chance to react? Our response to the presidents was that this morning's meeting was planned as the opportunity for this feedback — especially through these smaller group discussions.

We'll have the panel first, followed by a few questions. Then, after the small groups discussions, we'll reconvene for brief reports from the three groups so that the entire community can have a sense of what those smaller groups said, did, and worked with. I'm going to arrange the sequence here, in order to do something I always like to do since my name is at the end of the alphabet. I'm going to reverse the alphabet order and introduce Richard West first. I think this is the proper order for introduction of people anyway.

Richard is the associate vice president for Information Systems and Administrative Services at the University of California. He also serves as chair of the Coalition for Networked Information Steering Committee. The latter position is a volunteer role, in which Richard has graciously donated a considerable amount of time, and I must assure you that his involvement in the Coalition has been a critical factor in its success. Richard will review the work of the AAU Task Force on a National Strategy for Managing Scientific and Technological Information.

MR. WEST: Good morning. We started on this project almost a year ago, and what we are able to present today is an interim report for both the AAU presidents and the ARL.

I want to review the charge to the Scientific and Technical Information Task Force, go over what our process has been, and talk a little bit about the preliminary findings and what we think the actions are that we see coming out of this effort.

The charge to the task force was to examine ways of using new technologies to manage scientific and technical information. It was rather specific in directing us to look at document-delivery strategies. For example, are there some document-delivery strategies that would pay off for our various research libraries in using electronic networks, specifically with respect to improvements in service as well as reduction in cost? There was a reference in the charge to the Canada Institute for Scientific and Technical Information — could this model have regional applicability to the U.S.?

Early in the task force discussion, there was agreement around a task force vision with respect to what could be possible with new technologies. It became clear to us that the electronic network world holds great opportunities for improved productivity in universities, that there's a lot that institutions need to do to prepare to take advantage of these various opportunities in the electronic network environment, and that the technologies really are quite good now, good enough to use. That's because the electronic network can replicate full printed images in electronic form and manipulate them in much more facile ways than what we've been able to do with simply basic text.

We also found, though, that the economics associated with some of these issues — and I don't mean the economics and implementation of the infrastructure, but some of the economics of intellectual property issues — are going to be fairly tough as we work through this transition. The question then became how to make the transition from today's print-oriented environment

to an electronic-oriented environment. To help us move on with this approach, the task force developed an analytical framework that we thought would help us evaluate various approaches to distributing and managing information.

After several discussions, we agreed upon a list of the basic functions of the scholarly or scientific communications process. This includes the functions of authoring all the way through to the organization and dissemination of information. It is a list of functions that addresses how the communication of information occurs in any kind of process, whether it be print-based or electronic-based. This is just an A-through-Z functional list that traces a piece of information or intellectual property from its creation to its point of dissemination, storage, and organization.

Obviously, any set of functions can be performed in different ways or with different capabilities, and so we also developed a series of attributes that would test how well each of these functions were performed by any given management approach. In this way, we could determine whether one particular approach might be very good at providing access but another approach might be very good at assisting the authoring process. Each of these attributes was applied for each of the functions to evaluate several different approaches to managing information.

Then, finally, we identified some of the key players in the scientific communication process — whether it be technology manager, librarian, author, or scientist/user. These people have very specific roles and responsibilities, and these roles may change rather significantly depending on the type of management approach to scholarly or scientific communication that is being used. Once we had developed and had some agreement with respect to the analytical framework that contained functions, attributes, and players, we tested various types of approaches to STI management.

You won't be surprised to learn that everybody came to the table with an approach or model they knew was correct. It took a little while for us to work through whether we really did agree that some of these models would be valuable and whether, in fact, they were complete models. In fact, as we talked about it, it became clear to all of us that many of the ideas we had about better ways of doing business represented only partial models. That is, it really helped solve only part of the communication process. Even in our print environment, for example, the publication of a journal is only a part of the communication process; it's not the total part of the scholarly communication process. We still require authors to write and libraries to collect and preserve the journals, etc.

So what we did after several discussions, after our analytical framework was in place, was to identify three basic models or scenarios for how STI could be communicated that we think cover the waterfront with respect to testing our ideas in this area. One we labeled the "Classical" model, which is characterized by the print-based journal that's organized in traditional ways, acquired by a library, put on the shelf, cataloged, and then used by patrons, based on coming to the library in a physical way. It's just what it says, a Classical model.

A second model we labeled as "Modernized," and the significance of Modernized is that it takes basically printed versions of scholarly communications — a journal article or a monograph or report of some sort — and basically introduces electronic services in some part of the chain of the functions. We have in the various discussion papers three types of the Modernized model, depending on whether you introduce access electronically and/or distribute the actual material electronically. There are variations on that theme, but basically the idea is that you're introducing and aiding traditional print communication types of products through electronic means so that the patron doesn't really have to show up at the library to obtain that information.

A third model that we discussed represents the transition away from print-based strategies of communication to electronic-based strategies of communication, and the key transition point begins with the creation, electronically, of the information or document. "Emergent" is the name we gave to this third model. The favorite examples tend to be the Human Genome Project, but there are other examples of information systems that are being created and communicated by scientists that do not result in the kind of intellectual property

that we're used to seeing in journals. It is thought that this Emergent model is going to become a much more significant part of the scientific communication strategy.

Obviously, one of the most important issues here is that the roles and responsibilities of key players don't change much in the Classical and Modernized model, but they change rather significantly when we get into the Emergent model. There are new partnerships being formed among scholars, librarians, and technology managers at the campus level, and we are still just tapping into that part of the process.

How quickly will these models evolve? What will happen in the next 20 to 30 years? We are realistic that no single model will really dominate in the next 20 years. Rather arbitrarily — perhaps until the year 2015 — we project that only about 50 percent of the STI research resources will be managed in these Modernized and Emergent models; and that we will still have 50 percent of our STI materials in Classical or paper-based form.

The reaction we got from some of the AAU presidents to this projection was that this absorption rate is much too slow. That reaction may belie a hope that this transition will be a cost-savings phenomenon, not a duplication or expansion of cost. I think, perhaps, the projected time frame is a little modest if you only think of new material — and if you speculate when new material will be managed roughly 50% Modernized/Emergent and 50% Classical. The task force projection is certainly not modest when you think of management of a total (retrospective and new) STI research collection. Whether it turns out to be 20-80 or some other combination, the point that we are trying to highlight is that there will be some parallel implementation of these activities, and that we can't expect all STI intellectual property to be communicated through electronic forms immediately.

One of the points that's worth reiterating is that examples of implementation of new communication technologies should be assessed in the context of all of the functions and performance attributes of our analytical framework. For example, one of the presidents said, "I've invested a lot of money, at least from my point of view, in the campus network, and I've sensed that this transition is really happening. My scholars in the sciences tell me that they communicate with each other through electronic databases and electronic networks and that they don't really see journals anymore, so why do we even keep collecting them?" When scholars who say those things are interviewed, it becomes clear that there are certain functions that they expect print publishers and libraries to do that are not routinely being done in the electronic forms.

If you look at the various electronic applications that are often mentioned within the physics community, you see electronic means used for communication, but not as a mechanism for peer review and quality control. Technology and networks are being used for communication, but the validation process still occurs outside that electronic environment. If we are going to begin to get some of the benefits, which we believe are real with respect to electronic network distribution systems, we're going to have to make sure functions such as those associated with validation are performed sufficiently well that it's accepted in the community.

Promotion and tenure issues associated with "does it pass the duck test, does it quack properly, and does it really help you get promoted?" are also part of this issue. I don't think that's too difficult with respect to those types of electronic journals we're seeing that replicate a print form, but it becomes more difficult with the Emergent models, which may not have intellectual property that's so familiar or distinct. Our faculty will have to adjust, and it has to be prestige-oriented.

Now, obviously, cost is a major attribute of our analytical framework. Any STI management model that's tested against that framework has to recognize that it can't be more expensive than the status quo unless there's a significant amount of benefit in other areas. It is the task force's belief that Modernized and Emergent models can contain costs and improve unit costs for storage, access, and circulation/delivery of STI.

Also, the Modernized model may deliver an article for, say, half the cost of a traditional interlibrary loan transaction. This obviously has significant collection impact, and I think one of the things that we may want to discuss is how to test whether this projected savings is actually true.

One of the barriers to cost-effective management of STI, though, is the issue of intellectual property. There is, as demonstrated in the Mellon report, a "scarce goods" nature to scientific and technical journals. By this we mean that there are not highly substitutable products in this marketplace, and, from an economist's point of view, that the scientific and technical journal pricing market does not reflect cost-based competitive forces. You are familiar with the various examples and a part of the message that has gotten through clearly to the AAU presidents is that per-unit costs have gone up and our purchasing power has gone down drastically over the last few years.

The objective from the task force point of view is to decide what kinds of action we should take to create a cost-based marketplace for scientific and technical information. How do we meet our various functions that are described in the analytical framework — with respect to communication, dissemination, quality control, and peer review — and find ways to contain our costs? How we address these economic marketplace issues will determine how much, if any, of the savings that might accrue in the electronic distribution market — how much of those savings will accrue to universities — rather than to the economic owner of the intellectual property.

We could work to improve the flow of information and even go to the point of having the logical one copy of a journal article somewhere in the network. And yet, because that's such a "scarce good" — which is the nature of why we collected it — its price could go up to reflect the economic rent associated with it, because there's no substitution for that product. There are many suggestions about what we need to do about that. At this stage, another six months remain of our work. Here, at this stage, are our tentative recommended actions and next steps for the task force.

- Invest in campus-wide networks and keep them current. We all know that we're not quite as far along as we like to say when we're a couple of miles from home.
- Support a public stake in the federal discussions about the national information infrastructure initiatives. There is lots of excitement and discussion about these national networking activities coming off of the success of the NSF initiatives that encourage the development of the Internet. But there is much discussion about what the next form the Internet will take, and it is in our interest to support, particularly, EDUCOM's efforts with respect to making sure there is an educational interest in general — a higher educational interest, specifically — in those federal initiatives.
- Exploit the Modernized model to whatever degree we can; that is, a document-delivery strategy, in the short-term, for scientific and technical information. It's clear that, with the way the marketplace is going, in the short-term, there are very high payoffs for document-delivery strategies. The per-unit costs are already lower than our costs for sharing in other, more traditional ways. I think those document-delivery costs, including a copyright fee, will go down in the short- to medium-term.
- Encourage experimentation of Emergent model projects with campus librarians, technology managers, and faculty. Actually, part of the NSF initiative on digital libraries has already been catalytic in this respect of forming new partnerships among scholars, information managers, and technology managers, to think about new ways of creating, storing, sharing, and organizing information. More collaboration is coming upstream in the production cycle. In other words, more information management techniques are applied to some of this intellectual property before and as it is created. It's closer to the creation of the scholarly work that these new technologies really allow more parallel processing. The Emergent model can see professional information managers becoming more of a partner in the development of intellectual property.
- Encourage electronic publication and dissemination as viable outlets for scientific scholarship. Work with faculty, professional and academic associations, and university presses to create a cost-based marketplace for scientific information. This is partly the issue of the intellectual property ownership rights. It's not explicit here, but we still have to talk about models of intellectual property ownership. Should there be an institutional interest in the intellectual property, as there is with patents? Copyright is treated differently than

patents, and yet we're in the cycle of where authors give away the intellectual property created within an institution and then we buy it back at a fairly significant price for what really is, in an electronic environment, for quality control.

The Intellectual Property Task Force, obviously, will have more to say about that. We have talked in our coordinating sessions a lot about how we will go about addressing this topic and how strongly. Over the next six months, that is one of our biggest challenges. We had to address, for example, how we can help create "substitutability" of product. That's the goal. The task force is not "anti" commercial publisher or "pro" not-for-profit publisher. From an institutional perspective, however, we have a real interest in creating more of a substitutability of product. That may or may not be possible because, once the product is produced, you look at different alternatives with respect to either contractual rights around that copyright or you look at different arrangements of the actual intellectual property ownership. We are not suggesting modification in law with respect to copyright -- I don't see that in our cards — but rather different contractual arrangements around the property rights.

- Investigate and evaluate models of electronic journals. We know them, they exist, there are various types — CORE, TULIP, Red Sage, the DARPA technical journals, and others that are provided. One of the things that we were going to suggest is that there be a fairly careful scrutiny to evaluate those models: how do users use them; how easily do they provide the information in a format that patrons find helpful; what are the costs of distribution; do they really substitute for print versions; or are they simply supplemental with respect to the print versions?

There's a fairly significant evaluation period here, because we are clearly in an experimental phase and we need to learn from experiments in the networked environment.

(Applause.)

MR. WEBSTER: Thank you, Richard. In introducing the next panelist, I think it might be useful to comment on the partnership that's at work in this project. As you know, it's called the AAU Research Libraries Project, with work completed in collaboration with ARL. In developing that title, the intent was to very clearly label this effort as a presidential-level effort with ownership, involvement, and leadership coming from the university presidents.

At the same time that John Vaughn and I worked to define specifically the proposal that we took to the presidents, we were convinced that for the project to be successful, it needed to be supported with your involvement. There have been at least three librarians on each of the task forces, supported with involvement from the ARL staff, adding up to at least one and, in some instances, two ARL staff involved with each task force.

On the STI task force, Jaia Barrett and Paul Peters, the executive director of the Coalition, work with Richard West. On the Intellectual Property Task Force, Ann Okerson and Pru Adler support the work of that group with Peter Nathan. On the Foreign Acquisitions Task Force, Jutta Reed-Scott and I work with John D'Arms and that group.

That partnership is going to pay off this morning because Peter Nathan, who is the provost at the University of Iowa and the chair of the Intellectual Property Task Force, is unable to be with us because of fog in Cedar Rapids. We are going to turn to Ann Okerson, a person most actively involved in supporting that group, to provide his comments for us today.

Ann.

MS. OKERSON: Copyright and intellectual property are perilous and slippery topics. This peril is reflected in the two chairs that we've had for the AAU IP Task Force. David Ward, who agreed to chair at the end of last year, withdrew very early in the process because Donna Shalala was named to the inner circle of the Clinton Cabinet in Washington, D.C., and he became acting chancellor and then chancellor of the University of Wisconsin. Peter Nathan of Iowa was then appointed and accepted — and then the floods came.

Peter wishes he could be here today instead of having spent three hours last night befogged in the Iowa City airport. He has been a wonderful facilitator and has involved everyone in the group in the task force process. We've had lively discussions, though there has

been, in fact, little agreement on the exact shape or the future of scholarly communications and scholarly publishing among our members. This should come as no surprise.

One thing that we are unanimously agreed upon, though, is that the management of intellectual property is fundamental and critical to the success of the scholarly and educational enterprise, and that universities must actively address intellectual property if our teaching and research are to prosper. We must manage intellectual property well from this day forward. A lot of the discussion in the task force has been about the special characteristics of the emerging electronic information infrastructure, but in fact I think our discussions really are technologically neutral, so we talk about information in every format.

We will summarize our work to date and then give you the early shape of our recommendations. The Task Force, as Duane said, is composed of university library directors, a law library director, university faculty who are particularly interested in intellectual property, and guests from a scientific society and from a university press. The chair is a university provost. The group has worked hard to bring us to the point that we have reached today.

I'd like to begin with background material to set the stage for an extended discussion later of our tentative recommendations.

Our charge is:

- To develop proposals for university policies governing intellectual property ownership and rights, particularly in the movement to an electronic environment;
- To examine, from a university perspective, the emerging possibilities for creation and dissemination of electronically based information;
- To develop proposals by which universities can provide their faculty and students with new options for collecting and disseminating research and scholarship.

So, although, intellectual property is part of the title of the task force, it should be no surprise that what we have been discussing ranges far beyond intellectual property and is really about the future of scholarly communications. I think we saw that trend also in the STI report we just heard.

We established four working groups with specific charges that prepared their own sections, which will be in the report. Let me summarize those for you:

- The **first working group** has examined how intellectual property governed by copyright law is being managed today. Part of that process included reviewing 40-plus university intellectual property ownership policies. While some aspects of these policies are working well, many members of the task force believe that there are substantial areas that are not, in that universities pay markedly increasing dollars to recover the intellectual property that their own colleagues and institutions produce. That is happening not only in the subscription and purchase of books, but it is happening also in payment for the delivery of individual articles over and over again and in preparation of instructional materials such as course packets.
- The **second working group** was charged to explore how scholarly communications might look in the near term, the year 2000, with particular emphasis on understanding better the electronic media by which increasing quantities of intellectual property will be disseminated in the years to come. This group probably had the most diverse ideas about the pace, implementation, and look of scholarly communications in the future.
- The **third working group** considered the policy basis for the ways in which universities should manage their intellectual property, specifically the advancement of research, teaching, and service; preservation of royalty income for faculty authors; and enhancement of efforts by universities to contain the costs of acquiring intellectual property.
- The **fourth group** considered a range of options for managing copyrights. Options included the Current Enhanced model (or enlightened status quo); Faculty Ownership; Joint Faculty/University Ownership in a shared model; University Ownership; ownership by a consortial body; and a joint consortia/faculty ownership/partnership. I think it's fair to say that this group has, so far, not developed a favorite among these choices. We will continue to

work hard to consider all of these ideas in detail and already have developed four of those six options more fully.

Now let me share some of our tentative recommendations with you, and hasten to add that we do have another six months in which to define, describe, detail, and analyze them, so all see them as part of a continuing process, not as a final product. We very much seek to be informed, instructed, and enlightened in the small working groups today about your responses to some of these proposals and what you want to see carried forward in the recommendations.

- *Inform and engage campus faculty in dialogues about policies related to copyright and ownership.* While everyone assumes that faculty are knowledgeable about such issues, most faculty, by and large, know relatively little about the policies, procedures, and laws that govern the use of their property. One could say that the process is transparent to them. If faculty were more knowledgeable about these matters, task force members believe they would be more likely to share our sense of urgency about intellectual property rights and work more aggressively to deal with the problems institutions have later on in the management of copyright.
- *Take full advantage of fair-use rights applicable to published information.* The work group believes that most universities do not take full advantage of the rights they have in the law, that they have permitted publishers and others to circumscribe property rights by fiat or threat of suit, and in the absence of case law, to justify this narrowing of rights and opportunities.
- *Seek to recover the ultimate control of information created by university faculty, staff, and students.* At present, as Richard West said, universities do continually repurchase this information, at times at what appears to be unconscionable rates.
- *Identify one or more copyright management options that would vest ownership rights in other than simply the publisher.* The current practice -- at least in journal publishing -- is that rights are assigned to the publisher for the duration of copyright in all media that exist or might yet be created. The task force has found the Joint Faculty-University Ownership option particularly attractive in this regard, although other task force members prefer the Current Enhanced option or the Enlightened Status Quo. David Bressaud from the math department of Penn State has, in fact, come forward with quite an extraordinarily good and detailed proposal called the Faculty Consortium model that has engaged our interest.

Those are probably the most serious proposals we will consider. It is important for everyone to recognize that the risks of changing the current ownership practice have been emphasized by task force colleagues, especially those working for university presses and learned societies. Publishers are understandably concerned about changing copyright assignment to practices that would affect what they see as an already eroding potential market for their work. Accordingly, they feel any changes would make publishing an even more risky enterprise than they are currently finding it.

- *Develop an enhanced role for university presses.* Task force members feel that university presses, a number of them marginalized on campus, have a much more important potential role to play in advising faculty and administrators on copyright and its provisions. Some believe that funding university presses to launch electronic journals that ultimately might compete with print-based journals ought to be thoroughly considered.
- *Develop more productive relationships with academic, not-for-profit publishers, particularly learned and professional societies.* Many of these publishers produce high-quality journals at reasonable prices and have a good deal more in common with the aspirations of universities to disseminate information more widely than with those of commercial publishers. At the same time, the academic publishers must also make a profit, so that they have a continuing stake in copyright conversations.
- *Seek to develop new technologies to enhance scholarly publication.* The task force is talking about a range of these technologies, including electronic journals and network preprint circulation, as a means of maximizing access to universities' intellectual property. Since these technologies are new, the extent to which existing copyright law affects them is not entirely clear. This uncertainty adds to the complexity of the issues surrounding our work.

• *Provide incentives to reward faculty not only for teaching and research but for helping to manage the information flow.* We must involve faculty more centrally in our universities' intellectual property problems, enlisting their active involvement in the search for solutions. In fact, the one thing we are all agreed upon is that faculty members are the key to this process. We must work closely with our faculty to make the changes that we'll propose in our final report.

Thank you.

(Applause.)

MR. WEBSTER: Thank you, Ann, for filling in.

I would like to note that there are two members of this task force — the Intellectual Property Task Force — with us today: Brian Kahin from the Kennedy School at Harvard; and we're also quite honored to have with us today Dr. Barschall from the University of Wisconsin. As you may recall, Dr. Barschall was the winner of the very first ARL award recognizing distinctive contribution to research libraries.

(Applause.)

MR. KAHIN: Duane, I'm actually with the STI Task Force.

MR. WEBSTER: I'm sorry. It's your paper, Brian, that's influencing the intellectual property task force. Are there any other faculty members on any of the task forces here today? Both Dr. Barschall and Brian will be part of the discussions later this morning.

The next panelist is John D'Arms, Vice Provost for Academic Affairs and Dean of the Graduate School at the University of Michigan. As many of you know, John has contributed to the development of a number of our organizations including the Center for Research Libraries and the Research Libraries Group. He is here today because of his continuing commitment to ensuring access to the range of foreign materials needed for all scholarly communication endeavors. He will report to you on the progress made by the AAU task force and on the acquisition and distribution of foreign language and area studies of materials.

John.

MR. D'ARMS: Thanks, Duane.

I'm recently back from three weeks in — an amazing experience that is still reverberating throughout my system, as I am still unable to sleep. I can't resist sharing just one aspect of that experience.

Although the level of English spoken by our Chinese guides was extremely high, there were some marvelous malapropisms introduced into daily discourse. We learned, for instance, that very close male kinsmen are "bloody brothers." We learned that someone very highly placed in provincial administration is a "provincial groveler."

Last, and best, was a hotel that was recommended to us — a five-star, recently built Asian hotel. Our guide said it was wonderful in every particular, and it even had, on its top floor, a "revolting restaurant." It did, indeed, have a revolting restaurant. As the restaurant "revolted," the persons who came from the kitchen to take orders would say, "Yes, tea for this person," but by the time they returned from the kitchen, the person's location had, of course, changed, and the tea was wrongly delivered.

(Laughter.)

This banal tale has a connection to the work of our task force. Our focus is not "revolving" — going around and around again and again — but action. I apologize from the outset if there is a slightly academic spin to my remarks. I don't, as you know, come from primary professional commitments in the library world, but from university administration. I'd like to do three things: first, remind everyone here of the underlying assumptions that are driving the work of our task force to date; second, describe our plan; and third, present what are likely to be our recommendations placed before the AAU presidents next spring and what we think it's going to take to implement these recommendations.

There are members of our task force here — George Shipman, Dorothy Gregor, and Paul Mosher. They've contributed already very substantially to the work of this group. We have more work still ahead of us, and I emphasize the tentative nature of these recommendations. Nonetheless, I'm going to formulate them rather sharply, in the interest of focusing any subsequent discussion.

First, the premise driving our work. On the one hand, in our increasingly interdependent world, research universities and their presidents are properly affirming all kinds of new commitments to foster international linkages and initiatives, in both research and the curriculum; there has been an explosion of available publications and titles in foreign languages. On the other hand, given our resource constraints, both at present and for the future, no single research library is collecting widely or deeply enough to satisfy even its own immediate constituencies, whether scholarly or pedagogical, let alone the wider universe of users, both within and outside academia. The data are showing that American and Canadian research libraries are actually reducing their acquisitions of foreign publications, due to financial constraints. The recent Mellon Report has some excellent data on what's being published in different areas of the world, and the different rates at which these materials are being acquired is very important to understand.

The question for us is this: How do we build a broad-based commitment to maintaining foreign acquisitions at a level adequate to national needs, and not simply the needs of the research universities? I do think the word "adequate" here needs some emphasis. Our libraries have never collected all titles, even when library budgets were at their most robust. Even acquisitive faculty have exercised some sense of restraint, and librarians even more: principles of selection have governed in the past and will have to govern also (and perhaps still more firmly) in the future. Just because more is available doesn't mean that all of it is going to be acquired, or even that it *should* be acquired.

The main feature of our task force's plan is to develop a network-based, distributed model for coordinated collection development of foreign language materials among U.S. and Canadian research libraries. We are envisaging a multi-institutional North American network of coordinated collection building for foreign materials. The model would be area-based, geographically dispersed and would seek to recognize and be responsive to the differing needs and special characteristics of different parts of the world. Selected libraries in the system would function as "nodes," acquiring and then distributing to a set of libraries. These "nodes" would be interconnected to form a national network.

There are two main recommendations that are being developed in the task force; recommendations which, though somewhat tentative and preliminary at this point, have commanded a certain amount of agreement in the group and which we are likely to bring before the presidents and chancellors in more refined form in April, for their approval.

- First, we will recommend commitment *in principle* to building this distributed national collection of foreign language materials through a network of research libraries.
- Second, to test the viability of this larger objective, to move towards it in an evolutionary way, our strategy will be to recommend that the presidents approve two or three demonstration projects — pilot projects, if you will — in geographically targeted areas. The areas we've been discussing are Latin American acquisitions, German acquisitions, and Japanese acquisitions. The rationale for selecting these three geographical areas is that each presents a different set of challenges, opportunities, and different models for acquisition and distribution.

As regards Latin America, there seem to me at least there reasons why we might think seriously about this field:

1. The Seminar for the Acquisition of Latin American Library Materials — SALAAM -- has a proven history of some success in facilitating cooperative collection development programs and might provide us with some organizational support.

2. As Rich Ekman has just said, The Andrew W. Mellon Foundation is thinking about helping to build hemisphere-wide distributed systems for Latin American library resources that would link, by network, North and South American research libraries. It seems to us that some part of this Mellon initiative clearly connects to our objective.

3. Lastly, Latin American research materials are relatively inexpensive in comparison with some of the titles coming out of Western Europe, where they're available at the moment largely in print; however, electronic resources are beginning to be available. It's a very important and growing field.

As regards Germany, our rationale is based on the fact that this pilot project would cover a part of Western Europe, a "high impact" area in the sense that in Western European studies, the number of faculty is substantial and has expanded, and the numbers of titles routinely collected are considerable. Library research materials are expensive. The book trade and subject bibliographers are well-organized. Finally, digitization technology is well-advanced.

As regards Japan, where we're also considering a demonstration project, we would build on the support for network connections among the participants of the recently established National Coordinating Committee for Japanese libraries. This would also expand current efforts in digitization and accessing Japanese text via the Internet. Here we're dealing with a non-Roman alphabet, as we really must in one of these demonstration projects. Copyright law in Japan is far more restrictive than it is in Germany, thereby testing libraries' capacities for access and distribution.

Let me re-emphasize that the goal of the pilot projects is to provide "test beds" for the larger objective of the distributed national plan, by demonstrating that different areas of the world could eventually be incorporated into an overall program of acquisition and distribution. I expect that our task force is likely to propose time lines for implementation. Over the short- and long-term, our current hope is that by the year 2000, the demonstration projects would have been implemented and judged to be successful. By successful, I mean that the demonstration projects satisfy certain key conditions:

- First: campus networks and the electronic infrastructure have been sufficiently developed to assure that access and delivery, which will be critical to the success of a distributed North American collection, are guaranteed. This clearly has implications for the work of the Scientific and Technological Information (STI) Task Force as well, which focuses on developing the electronic infrastructure.
- Second: that the *costs* of this effort not be incremental and that implementation be achieved somehow through relocation. For instance, those institutions that were targeted to collect for Latin America would be doing so selectively, reserving part of their acquisitions budgets for serving the wider community of users in the network.
- Third: university librarians, technology managers, foreign area specialists among the faculty, and the other faculty who routinely rely on foreign language materials, will need to be convinced that this model has produced improved results. That is, whereas no individual university library may possess as many resources, it provides access to many more, and that cooperating and sharing, on balance, makes a better strategy, individually and institutionally, than competition and acquisition.

The start-up costs for a system like this are going to be substantial if, in the long run, we're going to be able to reduce costs. People simply have to be aware of that. Furthermore, I think there may actually be — I'm rather optimistic about this — some external funding sources where we can make approaches. In any event, costs are not a trivial question.

Nobody here needs reminding of how difficult it is going to be to achieve all of this, and how much courage it is going to take, across the board. A key question, for instance, surrounds selection: who is going to be collecting exactly what? We've got to work that out in our task force, at least to propose some models for who is participating and what their responsibilities, both for collecting and distribution, may be.

Most important, I think — and you will not be surprised to hear me say this, coming as I do largely out of the faculty and the administration — is securing a broad and university-wide community agreement to cooperation and sharing. I don't think we can over-emphasize the problems or the challenges ahead.

I've read two recent papers — you've probably read them, too — one by Daniel Alpert of Illinois, and the other by Jonathan Cole, provost at Columbia, pointing out from very

different perspectives that the mechanisms on our respective campuses for setting academic priorities, budgeting around them, and securing agreement for them, in ways that are collegial but also decisive, are rather fragile at the moment — at least, very far from what we would like them to be. Devising new strategies for working together productively among the various stakeholders — the faculty, those outside the faculty, and those connected with the creation of new knowledge and the management of information — will present major challenges.

Undoubtedly, there will be new workshops to educate the faculty; there will be new training sessions offered by you, library directors, to middle management library professionals and also to the faculty in the available technologies, as well as sessions aimed at helping the faculty understand the profound changes on the horizon in the culture of bibliographic use and consultation. Leadership will need to be exercised, it seems to me, at many levels. There are the peer-review issues, which Richard has just brought up. Presidents and provosts can play a critical role, but they cannot — even if they're willing — play this role without the strongest possible cooperation of the research library community. This is going to be a cooperative effort. I'm delighted to have some part in it.

Thank you for this opportunity to describe the work of my colleagues on our task force. I welcome discussion.

MR. WEBSTER: Thank you, John.

I think you can see from these three task force reports an awful lot has been accomplished in a relatively short period of time. The first meeting was in January; each group has met several times. We've produced preliminary recommendations. You've seen the preliminary reports. They were distributed in advance of this meeting. (See Appendix 1)

I think the most important accomplishment of these three task forces and, in particular, of the chairs is sparking the interest of the presidents themselves.

I've asked John Vaughn, Director of Federal Relations at AAU, to finish this morning's session by talking a little bit about the AAU meetings on Monday, in Indianapolis. The project steering committee met for about two hours and then the complete membership of AAU met and devoted about an hour-and-a-half to these three task force reports, and discussions of them. Clearly, the presidents are interested in these recommendations, and it was an animated response. I've asked John to say a few words about that response.

John.

MR. VAUGHN: I've been at AAU for 13 years, and over that time I have watched the various desultory efforts to try to engage the presidents on research library issues, and they have been failures every time, not because the presidents don't see the research library as a critical part of the intellectual core of the university or a painful part of the budget of the university, but because we never were able to frame the issues in any way that they saw anything they could directly do. I think at the AAU meeting session on the research library project, we accomplished that framing of issues in a way that really engaged them in these issues.

This session exceeded my most optimistic projections. It was clear to me, from the presidents' reactions, that they see these issues — research library and information issues — as critical to the future of the universities. They see this project moving in the right direction, and it was clear to me, unless some major change occurs over the next six months, that when we give them an action agenda, they will be willing to engage it directly and collectively and with a very high priority.

The purpose of the session was to be a sort of test run to give them a sense of where the project was moving, and I think it succeeded in two respects. First of all, as I just indicated, it confirmed their sense of the importance of these issues and that the project is moving in the right direction on these issues, but, secondly, it also flagged some areas of discord where we are going to either need to give a full explanation or a modification of some of the issues, and one of them Richard alluded to.

There was some disquiet about the pace. They want to move faster, and some of the reason for that is financial. I think there are some different time lines. I think Richard was

absolutely correct in his projections about the length of time it's going to take to get faculty moving from print journals to publishing electronic journals. I think John D'Arms's projection is correct that it's going to take a while to get the pilot projects for foreign acquisitions off the ground. The presidents' worry about the time line, really, is what we talked a lot about.

In terms of having universities as players in these new electronic environments, we have to move very quickly. There are numerous time lines and deadlines, and we can clarify for the presidents those actions that demand quick response and those that require more time to build consensus for new modes of operation. I think we should welcome this reaction from the presidents because we don't want a passive, uncritical acceptance of a message that they see as being of relatively little consequence. It was clear to me they really were listening carefully to messages that mattered to them, to the evolving shape of conclusions that they are going to be asked to act on. This was really quite dramatic and a complete reversal of their lack of engagement in the past.

I asked myself, "Why the change? What are the differences in their engagement now?" I think there are two main reasons they have now been captured by these issues. One is that the problems themselves are growing exponentially, and they're juxtaposed with some really remarkable new opportunities in the electronic environment. I also think a key reason is that we've framed the issues right. I think you should not underestimate the role that Duane Webster and the ARL staff played in this. The project had a long and carefully thought out evolution.

Duane said it started about two years ago, and maybe it was more than three years ago that Martin Massengale at the University of Nebraska brought up in one of our committee meetings the need to do something about research libraries. "On my campus, that's the second fastest growing budget. Help!" Bob Rosenzweig, then President of AAU, said to me, "Do something!" And I went to Duane, and that started the process. Duane's "Challenges Facing Research Libraries" paper really captured the issues.[1]

I think Hanna Gray's leadership within the AAU has been critical. She chaired the Steering Committee and really helped launch the project. A strong statement is made when somebody with the stature of Hanna Gray says, "This is an issue I'm going to chair because it matters that much." It helped very much to get this process started.

We spent a lot of time putting the task forces together. The Steering Committee paid a lot of attention to it, and it paid off. The task forces have been spectacular. They have worked hard. A tremendous breadth and depth of knowledge has been brought to bear on these issues through those task forces.

The task force chairs have done a terrific job. They did a great job at the AAU meeting in laying out the issues in a way that the presidents could immediately become engaged in, and their work within the task forces, as they have met, has been terrific.

The ARL staff have also made a major contribution. You may not see me as unbiased critic on this because I work with them on a lot of issues, but the 1 Dupont Circle building is filled with education associations. I work with most of them and have for a long time, and as a result, I've seen many educational organization staffs. I want to tell you that the group that Duane has put together is absolutely first rate, and their role in helping move this project forward has been critical.

The final report is due in April. Some of the toughest work we have is before us in the next six months. As the task forces refine their recommendations, we really want to come up with an action agenda, in April, for the AAU presidents and chancellors, something that will engage them for the next several years. I encourage you to follow this closely and speak directly, every one of you, over the course of this next six months with your president or chancellor, so that we can have the right preparation for April.

What we're asking them to do is make a significant commitment to this. As Duane and others have indicated, it is going to take some courageous, collective action. There is tremendous potential for friction with faculty and other players in the system.

One of the potential areas of discord, where the presidents are not ready now to move as rapidly as some of the task forces may like, is in the area of intellectual property. The presidents are not ready right now to reclaim ownership of intellectual property and take over all publishing activities themselves.

But they are — I had a lot of side conversations over the course of this AAU meeting with a number of presidents about these issues — ready to sit down and do some very tough negotiating with other parties in the system of scholarly communication — including commercial publishers. If we can get the recommendations right, I think we can get them engaged actively.

I hope you also will give your feedback to the task forces, to the members, to the ARL staff, and to the task force chairs as we work through this final stage in the next six months.

Thank you.

(Applause.)

MR. WEBSTER: Thank you, John. I think that point of getting the recommendations right is the crucial element that we face now, and the design of this morning's program is intended to have you help us to do that.

We'll take a break for 15 minutes and reconvene in the smaller groups. The smaller groups' locations are indicated in the program. I hope you will participate in those discussions. Your feedback at this time is crucial to us. At 11 a.m., we will reassemble in this room for reports from each group and an opportunity for further discussion.

Thank you.

(Recess.)

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1 Webster, Duane E. "Challenges Facing Research Libraries Today." *ARL, A Bimonthly Newsletter of Research Library Issues and Actions* 156 (May 8, 1991):1-2 (Washington, DC: Association of Research Libraries).

PROGRAM SESSION V

DEVELOPING STRATEGIES FOR RESEARCH LIBRARY APPLICATIONS

FOREIGN LANGUAGE RESOURCES

Paul Mosher
University of Pennsylvania

DR. BLACK: Can I ask that we reconvene? We will reconvene by asking members of each of the three task forces to come forward and talk a little bit about the session this morning.

We'll begin with Paul Mosher from the Foreign Language Resources Task Force, followed by Joe Hewitt reporting for the Management of Intellectual Properties Task Force, and Susan Nutter from the STI group.

MR. MOSHER: Following the excellent summary this morning by John D'Arms, 30-35 or so of us who were interested in this area met to discuss the work of the Foreign Language and Area Studies Materials Task Force. We met to test the task force's preliminary findings against perceptions of reality. One of the things that became very clear is that here we are again, seeking to model human behavior as if it were subject to human logic.

[Laughter]

And we ought to know better. But here we go again. At the very outset, what became extremely clear is that none of us -- none of these task forces — can work in isolation, either from the other task forces, from what's going on on our campuses, what's going on in AAU, or other initiatives within ARL.

Among other things, it was clear that sometimes we slide into speaking of "national strategies," and we must avoid that. This is a North American proposal, it is a joint Canadian–U.S. effort. This is both a Franco and an Anglo adventure that we are involved in, and we must remember that. The strength of what the task force proposes will come from that, and there's every reason, then, to work in new ways and think in new ways.

Secondly, the work of the STI task force and the work of the Foreign Language Task Force overlap in many, many ways; but equally important is the close linkage that will be necessary for our work with the ARL North American Interlibrary Loan and Document Delivery Project.

Everybody present clearly believed that theory was not what we were after — that governance and its issues were not what we were after; it wasn't the technical aspects of distribution that we were after. What we're talking about is genuine access and delivery within specified and reliable time frames to information and documents for our users, and nothing else will do. Therefore, those linkages are fundamental to our activity so we do not work in isolation.

Equally important are the links between the task force and the Library of Congress, the Center for Research Libraries, and the networks, OCLC and RLG, all of which are developing similar initiatives in other continents and other countries where we hope to have direct linkages to access and delivery systems. Networked access and delivery systems to other national or research libraries where materials are held is essential. Without it, without proof that remote access works, and without our assurance that it works, no reallocations or redistributions will be possible. So these ties underscore all our AAU task force work.

Our group was asked to consider a basic question: was the task force working in the right direction, or are we simply misdirected or misguided? After much discussion, I think the group that was present — and we will be very interested in whether you concur — agrees that the general direction of the task force, with some of the provisos that I just mentioned, was on target and enormously important. There was a strong message that the AAU task force should continue to be in touch with all of these groups that I previously mentioned and with the ARL Committee on Research Collections so that we continue to get a collective sense of direction.

May I say on behalf of all of the members of the AAU task force, we welcome comments, contributions, or questions from any of you in any medium in which you choose to communicate them, and we will respond — either John D'Arms, who is chair, or any of the rest of us who serve on this task force.

I think that we realize what underscores this is our shared commitment to research and curricular internationalism, or internationalism in all of those things that are institutions and that we take very seriously. As John said, we recognize that resource constraints and foreign publication increases have collided, and that what we're dealing with is the result of that collision. We learned that there are a great many initiatives underway to address various aspects of this among consortia of various kinds.

From John Haak we learned about a very interesting program in which the University of Hawaii and other universities are cooperating with CARL. In this case, the initiative transfers to electronic form the tables of contents of some 2,000 journals from Southeast Asia and Japan — and links this information to a direct document delivery capacity, a pay-by-the drink process in which we're extremely interested. We do want to keep in touch with initiatives such as this one with CARL, or others through library consortia or individual libraries. There is value to us all to know what you are doing, what you are trying to achieve, the measures of success, and the measures of evaluation. So we want to monitor different models to learn about costs and user satisfaction.

Our discussion also addressed if the general outline of the demonstration projects was correct? Were Latin America, Germany, and Japan a satisfactory initial set? After much discussion, suggestion of other possibilities, and discussion again of what we meant, the answer was "Yes, we would pursue a Latin American model," working very closely with SALAAM on what coverage might be realistic. All of Latin America, part of Latin America? That's still a bit up in the air. We're also talking about materials published in Germany, in all languages published in Germany. We're talking about materials published in Japan in all languages. Obviously, in the case of Japan and Germany, the relationship of our models and work with the STI task force is fundamental, so we will have to work closely together on that.

We also are very interested in the impact of this work on the output of foreign publications. That is, let's consider a journal on anthropology published in Kuala Lumpur. Suddenly the University of Hawaii is indexing it for all of us, and we are purchasing individual articles through CARL. What impact will this have on the publication of that journal in Kuala Lumpur and how will we know? We want to be very careful about how intellectual property rights are respected and that we don't destroy the very marketplace we are trying to encourage through some form of what may be bibliographic imperialism or colonialism.

We also discussed that more of us are spending more on personnel than on materials in most foreign areas. I think it was correctly pointed out by one of those present that that should be a major area of focus, and what we should do is enable personnel tradeoffs or reallocations, as well as a reallocation of dollars for acquisitions. It's also becoming clearer to us that savings will not occur. Instead, what we're trying to do is to manage costs, and we're trying to distribute more realistically and more productively the dollars that we receive.

Finally, a point was made that foreign monographs and other forms of publication, not just journals, are of extreme importance to us.

Let me conclude by noting that the continued input from all of you into this process, your awareness, your comments, and your questions will be fundamental to our success.

[Applause]

MR. BLACK: Thank you, Paul.

I think we'll ask Joe Hewitt to go next to report on the discussion around the interim report of the intellectual property task force. Since there is a lot of overlap and congruity among the areas being reported, let's hold our questions for the end.

INTELLECTUAL PROPERTY IN AN ELECTRONIC ENVIRONMENT

Joe A. Hewitt
University of North Carolina

MR. HEWITT: Unlike Paul and Susan, I'm not a member of an AAU task force; I was just an innocent person in the audience who was asked to take notes and come back and report. When you're talking about a discussion of intellectual property management and copyright, that's not an easy thing to do.

As you can imagine, it was a multifaceted and wide-ranging discussion. A lot of good points made. There were a series of points that were so reasonable that at one point in the discussion, Jerry Campbell got recognized and said that he wanted to introduce a dose of unreality into the discussion in order to get it back on track.

[Laughter]

But I think the consensus of the group was that this is a very timely initiative and that we have gotten the presidents' attention on the right issues. Because, as Paul pointed out, these matters are all interrelated and interactive, and the movements that are taking place in STI and foreign language resources are related to intellectual property management. The point was made that we really need not only to influence the direction of the AAU report, but find a way to capitalize on the report itself in order to engage the entire academic community in discussions, and, eventually to effect change.

There was some concern about a point that was made this morning that the presidents didn't seem to be prepared at this point to jump on the bandwagon in terms of commercial publishers. So there's some concern perhaps that this issue is not framed quite as clearly as the other two issues that we're dealing with in the task forces. The point was made that we really do need to have some publicity effort related to this when the recommendations do surface officially, that there be concerted efforts on the campuses to draw attention to the recommendations and engage the several different constituencies on our campuses in discussion of them.

Let me report on some of the other issues that were discussed. We were asked to what extent publishers had been engaged in the AAU process so far. As it turns out, there has been a representative to the task force from the Association of American University Presses. In terms of discussions with commercial publishers, I believe the consensus of the group was that there is value for the university community to come to a coherent view before we sit down to the table with the for-profit sector, so to speak, on a broad-scale basis. The point was also made that there are some individual arrangements being discussed between libraries and commercial publishers, and there's no reason why they couldn't continue.

Lisa Freeman, a representative from the AAUP (University of Minnesota Press), was in our discussion group this morning and made a very good statement on behalf of the presses. She expressed sentiments that I'm sure some of us have heard before, that publishing and the publishing process is underappreciated by librarians. I agree that the impression seems to be conveyed in some of these discussions that we do undervalue publishing, or the editing, gatekeeping, and all of the intellectual judgements involved in publishing.

Lisa also made a point about the fundamental risk that university presses face now and the importance of copyright. I don't know if she made it, but somebody said that the management of copyright is a very blunt instrument in trying to control the cost of scholarly communication. But it was certainly agreed among the group that at some point we need to engage all publishers in these discussions and that, in particular, we need to engage the nonprofit publishers to help us develop a position of what was called "shared risk" in the management of a scholarly information system.

A few of the other points: fair use was brought up, and the group was reminded that we needed to consider copyright, not just in terms of copyright management in publishing, but that libraries take a more assertive position on fair use. It was even suggested that we do what we can in terms of engaging fair use in the development of case law.

There was some discussion of the process by which the importance of intellectual property management might be brought to the attention of our university communities. The presidents may be hesitant to take definitive action in this arena now if they don't anticipate a single-mindedness on this issue from among the faculties and other stakeholders; university action may need to swell up more from other constituencies as well as from the librarians. We need to do what we can, perhaps through faculty councils and through other means, of bringing this issue to their attention.

The point was made that in the discussions this morning, funds to move forward the agendas of the other two task forces were mentioned as a possibility, yet that has not yet been mentioned for the intellectual property area. The question was raised, how can we expect to promote such a fundamental change in the scholarly communication system without some sort of seed money or funding? And that was a point that was applauded by everyone there.

I think the major overall conclusion in our discussion was that this is an extremely complex issue and that it engages a lot of different interests on our campuses. For example, the view from the humanities and from the social sciences is very different from that of the scientists.

The whole issue was raised, in effect, by STM Commercial Publishers, yet the solution is going to encompass, go well beyond that particular focus. Lisa made the point that we talk about the STM publishers so much, yet what happens here, what we finally decide to do, will affect all publishing in all subject areas. In moving ahead, we have to be aware of that, and look to long-term solutions that involve a great number of stakeholders in their development.

[Applause]

MR. BLACK: Thank you, Joe. I'd like now to call upon Susan Nutter to report on the STI Task Force discussion. Susan is one of three ARL Directors on this AAU task force.

SCIENTIFIC AND TECHNOLOGICAL RESOURCES

Susan K. Nutter
North Carolina State University

MS. NUTTER: I'm reporting on the group that discussed the interim report of the task force on managing scientific and technical information. This was a very lively group with a great deal of valuable input and discussion. In fact, we ran over our time and still had questions outstanding. I would encourage directors to continue to communicate with the task forces via e-mail, because this is extremely valuable feedback for the task forces.

We opened our discussion by presenting overheads related to the STI information management models. Richard West described the characteristics of the three models -- Classical, Modernized, and Emergent, and this generated the response and most of the discussion. I think that this is appropriate and very valuable to the task force, because we are in the process right now of testing and evaluating those models ourselves.

I'm going to outline the major points of discussion. The first and very important point is that we need to keep in mind, stress, and ensure that the university presidents understand that this set of models applies to scientific and technological information only. A model for the humanities, for example, may look very different. It is also really critical that they understand that the time frame for application of the models, in particular, would be very different.

It was also pointed out that the characteristics of the scholarly communication process for each discipline will have the most significant impact on the time frame for transformation of information management models. For example, the characteristics of the scientific communication process are very favorable to the kind of transformation we've been discussing. The research funding that has been going on for 20 to 30 years has supported infrastructure development and cultural changes among scientific faculty. It's a discipline that to a large degree is focused on short article-based communications; those traits have influenced the transformation.

The issue of infrastructure costs was discussed. Should these costs be included in assessments of new models? That's an important issue. Our assessments of the information management models is really focused on the scientific communication process as it affects the university community and particularly how it affects the flow of information that libraries have been delivering. It is critical that we make clear to the presidents that this assessment does not include the total university investment in infrastructure that will need to be made to support this model, and that those are significant additional costs. Libraries shouldn't think that this is their total universe. The task force assumes that libraries will instead build upon the campus infrastructure, put into place to meet a wide range of university functions including library and information sources but also serving such functions as delivery of distance learning.

The question arose as to whether the model addresses the use of information in the development of courses and concluded that in fact the model does not. The model is really defined by the scholarly communication process.

There was a great deal of discussion on the projected time frame for university adoption of the models. We questioned whether or not it was realistic that we will reach the 50-50 point (Classical - Modernized/Emergent) in the year 2015. Might it not happen earlier? And I think what we concluded is that, because the model incorporates all of the scientific and technical disciplines, this time frame may be fairly realistic. The biomedical community, for example, is way out in front. Their time frame would obviously look very different, and they may be close to the 50-50 point in the year 2000.

It was pointed out that we need to look carefully at the experience of that biomedical community and bring what they've learned into our process. Marty Cummings, Council on

Library Resources and a member of the task force, had some very useful and interesting comments. He pointed out that, with the introduction of DOCLINE in the medical community, the cost of ILL was significantly reduced. When you look at the cost of ILL in ARL libraries, it is around $30 for a completed transaction: $19 to borrow an item and $11 to lend an item. There is room there for savings, and this is something that we need to address. It was also pointed out that we have to be careful about how we talk about those savings; that, in fact, there's a real need to reinvest an savings in supporting the new environment and, in fact, supporting this transitional, bimodal environment.

We also talked about the need for changes in university culture: the library culture, the faculty culture, the presidents' culture, the user culture. Libraries need to reconsider how they handle information in electronic form, particularly issues like, "How do we subscribe?" "What is the unit of publication?" "What does the word 'journal' mean?" And I think we all agree that the word journal is really a euphemism in this context. We talked about the need for changes in peer review, the need for change in the perception that somehow electronic publication may not be equal to paper publication. We discussed the need for being careful about the integrity of information and who is responsible for ensuring the integrity of the article.

There was some discussion of intellectual property barriers, as well. It was pointed out that, since the faculty is most loyal and committed to its discipline, discipline-related cultural changes will be very forceful and that, in fact, we're beginning to see those. Because prestige lies in the disciplines, then in fact those cultural changes may have a tremendous impact on the adoption of these information models.

I would say that Joe's conclusion really mirrors our group's conclusion, that we have an enormously complex set of issues and communities, and that there's a great challenge to the group. The work of the task force is very important, and we would appreciate future input from you. Thank you.

[Applause]

DISCUSSION

John Black, ARL President, Convener
University of Guelph

MR. BLACK: Thank you very much, Susan, Joe, and Paul for your comments. Are there any observations that other members of the AAU task force would like to add to the comments from the reporters today.

Richard.

MR. WEST: I would like to elaborate and perhaps clarify what we heard the AAU Presidents say about intellectual property. There was a wide range of opinion. It's fair to characterize it that they were not of a common view, but there were some presidents who said that maybe we should just form our own publishing group, start to publish, and manage newly created intellectual property in this manner. There were others who said, let the marketplace respond and let new forms of property come forth.

So at least I saw their response as a signal that they were willing to remain open to exploration of a variety of strategies.

MR. BLACK: Any other observations? Questions from the rest of the group?

MS. BAKER: Shirley Baker, Washington University in St. Louis.

I'd like to add a few comments to Paul Mosher's remarks about the importance of making access work if we are really to have distributed collections. I think you should all know that Paul has acted on his belief and has agreed to give Mary Jackson another year's leave from the University of Pennsylvania to continue her work with the ARL North American Interlibrary Loan/Document Delivery Project.

I'd also like to comment on the CARL initiative that John Haak described this morning. In our work in the North American Interlibrary Loan/Document Delivery Project, we've come to see that kind of initiative as really important. Many commercial suppliers seem to target the 10,000 titles that we already have, and that's very nice for filling gaps for the occasional missing issue, or when material is at the bindery. But it's the University of Chicago and other research collectors that are developing fast, cost-effective, and cost-recovering models of delivery that really will help us all. We should all be looking at using and perhaps developing such services.

Just two other quick things about the NAILDD project. We've been working up to this point with vendors with the goal of facilitating the development of a software that we need to re-engineer interlibrary loan and document delivery in our libraries. At this meeting, we've added another tact to what we're doing. Yesterday at the Access Committee meeting, we made the decision to go ahead with testing a retreat to encourage change in interlibrary loan document delivery within our libraries as fast as we can. We will be organizing and running a workshop in February that will include the libraries in the Access Committee and involve the director, assistant director, and interlibrary loan practitioners together to look at the new realities, the underlying values, and the possible scenarios that might move us ahead relatively quickly.

I gather just from corner conversations that if, in fact, this workshop does work, a number of you might be interested in having it done again and participating.

MR. BLACK: Thank you very much, Shirley. Sounds like an important initiative.

Other comments from the floor? Suggestions?

MR. FRAZIER: I'm a new enough member representative to this organization that I can congratulate the organization without being self-congratulatory.

My strong feeling is that ARL is on the right track. One concern I have is that presidents of universities are not hearing a very fundamental reality: the pace of change, toward a transition, to electronically based information exchange is happening very rapidly, and university and research libraries are currently in the forefront of that change. Actually, the pace of change is quite exhilarating. We expect to lead that transition on behalf of our institutions. The real question, of course, is not just the decapitalization of research libraries but the decapitalization of research institutions. What we need is a sustained investment, because whatever our level of investment, I see no lack of willingness in this community to make those tough choices.

In fact, the rate of change in the next few years will be quite remarkable, I think. If we can have that sustained investment, after all, a generation is not a great period of time to achieve a transition in the means of scholarly communication for an increasingly global civilization. The rate of change is, perhaps, slow for presidents, but it's rapid enough, and the change will be profound.

MR. BLACK: Thank you.

Other comments, suggestions. (No response.)

I have one question for perhaps John and Duane, in particular, and the chairs of the task forces. That is, how will the information and the proposals you're coming forward with be communicated to the non-AAU members, for example, non-AAU ARL libraries as well as the broader community. At what stage and in what way would you see that interaction taking place? I'm thinking particularly of how we who are not in an AAU institution might want to alert our own presidents, for example, about what you're doing. At what stage is that appropriate?

MR. VAUGHN: First of all, as these task forces continue to meet over the next six months and reports of their meetings are written up and get distributed, we will get them distributed so that we have some fairly clear sense of going into the final report in April with some fairly broad-based support for the directions that the task forces are recommending.

The final report is going to include a range of choices that will have to be further defined through discussions with other players in the university system, faculty, and other groups. Prior to April, we'll be circulating within ARL, getting feedback for the task forces to make sure we're moving in the right direction. After April and the final reports, we'll form more formalized alliances with other organizations to carry out the action agenda items.

MR. BLACK: Yes, Ken.

MR. FRAZIER: To follow up on that. Is there a plan to give any kind of report to NASULGC in the meeting next month?

MR. WEST: Yes. As part of the NASULGC meeting, we are planning to have a joint meeting of the Board of Library Resources that is part of the Commission on Information Technology, with the library committee that's part of the Academic Affairs Commission. The joint meeting of those two groups will be on November 11 to review our preliminary findings in a form that is very similar to what is being done today.

MR. WEBSTER: I would also like to suggest that several of the library directors here have indicated an interest in orchestrating on-campus discussion of some of the issues that have been covered in these three task forces, even in their preliminary form. ARL is willing to assist you to undertake those discussions.

MR. BLACK: Thank you very much.

Any other comments or observations, questions? (No response.)

I would like to thank the reporters from the groups this morning, the presenters at the earlier part of the session, and all of you who have been involved in this process for your efforts. There's no question that what is coming forth from these task forces will have some major and profound implications for all of us. Right now, it serves as an early warning and alert system for things that we should be thinking about and working on as well. The next six months, I think, are going to be very interesting to watch to see how it develops.

I'd also just like to add one other small comment as I conclude the meeting. That is, just to thank again the ARL staff for their efforts in putting this meeting together and, particularly, to thank Mary Jane Brooks, whose work behind the scenes has kept us all on track. Some of her work behind the scenes really has to be recognized, like making a run back to D.C. to retrieve my glasses, which I managed to leave on the podium last night, and negotiating with the security people in the House office building to get them. That's devotion above and beyond the call of duty.

(Applause.)

Our thanks to Mary Jane for everything. And thanks to all of you for participating actively in the meeting. I very much look forward to seeing you all in Austin next spring, when we will partake of some Texas hospitality.

On that note, I will adjourn.

BUSINESS MEETING

INTRODUCTION AND PRESIDENT'S REPORT

Susan K. Nutter, ARL President
North Carolina State University

MS. NUTTER: The ARL business meeting is now called to order. Thank you.

I'm pleased to report that the Board of Directors on Tuesday elected a new vice president/president-elect, and that honor has gone to Jerry Campbell of Duke University. Jerry, please stand and accept.

(Applause.)

MR. CAMPBELL: There is a country song. It's called, "I don't know whether to kill myself or go bowling."

(Laughter.)

MS. NUTTER: You're going to have a lot more fun than you have with me.

I want to make some special welcomes, as well as to conduct a little business. The Association has a special tradition of greeting and welcoming new directors by having one of our current directors introduce our new colleague.

First, Lee Jones, the new president of the Linda Hall Library, will be introduced by David Stam of Syracuse University. David?

MR. STAM: This is probably the most superfluous introduction that one can offer to this group, because Lee Jones, the newly appointed director at Linda Hall, is known to probably two-thirds of you already, and by reputation to all. He has had, as we say, a varied career, ranging from institutions from Dartmouth to Trinity University to Texas to Columbia, to CLR, to MAPS, where I got to know him best in our work in starting that organization. He's associated with just about every acronym that we've heard. Apart from the more familiar ones, there's DSDP, P&G, MPI, MLA, WFS, and, of course, MAPS.

It's my pleasure to welcome him to ARL and to the Linda Hall, and back to the world of STM, which we have all come to know stands for sado-technical masochism.

[Laughter] [Applause]

MS. NUTTER: Welcome, CLJ.

Frank Polach, the new university librarian at Rutgers, will be introduced by Tom Shaughnessy of the University of Minnesota. Tom?

MR. SHAUGHNESSY: Frank began his career at the New York Botanical Garden Library, and he's a graduate of UC–Davis, where he got his Ph.D. in plant pathology in the early 1970s, and then he went to Columbia for his library degree. In the early '80s, he joined Rutgers as Director of the Library of Science and Medicine, and has served off and on as interim university librarian, and finally, during the latest search, Rutgers wised up and appointed him as the permanent university librarian. Frank, where are you?

[Applause]

MS. NUTTER: Thank you. This is a good time to welcome another new director. Michael Keller, Stanford University's new Director of Libraries will be introduced by Dorothy Gregor of the University of California at Berkeley.

Dorothy.

MS. GREGOR: It is a personal and professional pleasure to welcome Michael to the Association of Research Libraries and back to California. Michael has been well trained in our libraries. He's worked at Cornell, where he was also a member of the volunteer fire department. He was president of the music library on the Berkeley campus, where I worked with him before, and he set that library on a path to automation. Most recently, he's been associate university librarian for collections at Yale University, where he has one of the largest book budgets among the ARL libraries. Michael also holds a Doctorate in Musicology, and if there were a Doctor in Italian restaurants, he would have that, too.

We in California are very much looking forward to working with him, and I know that you will all find him an energetic and thoughtful colleague.

Welcome, Michael.

(Applause.)

MS. NUTTER: Texas A&M University's new Dean of University Libraries, Fred Heath, will be introduced by Nancy Eaton from Iowa State University.

MS. EATON: It is my pleasure to welcome Fred to our group. I met Fred first when we were senior fellows together on the Council on Library Research Senior Fellows program in the mid-'80s, and have stayed in contact with him since. Fred has a Master's in Library Science form Florida State, a Russian Master's, and a Ph.D. in Educational Administration from VPI.

Of his many previous positions, he's been director at the University of Northern Alabama, and most recently at TCU in Fort Worth. Among his professional activities, he was most recently editor of *The Library Administration and Management Journal*. But his real *forte* is on the tennis court, I can assure you, and he brings as much to our after hours as he does to the regular sessions.

Welcome.

[Applause]

MS. NUTTER: Karin Wittenborg, the new University Librarian at the University of Virginia will be introduced by Jay Lucker of MIT.

MR. LUCKER: Although Karin only spent nine months at MIT, we decided to claim her as an alumna for a number of reasons. First of all, because in that short time she has contributed a great deal to the progress of our institution. Second, because she's an extremely capable, competent and creative individual; and third, because we think that knowledge gained anywhere is useful. Also because we think she might have learned a thing or two at MIT.

In addition to her important work in Cambridge, she spent time at some other institutions, which I am forced to mention, including the State University of New York at Buffalo, Stanford, and UCLA, most recently.

I think that if I were standing here ten years from now and looked around, you would see that Karin Wittenborg is somebody who has already made contributions to ARL. I believe there is a very bright future for her, both at Virginia and in the Association. I'm delighted to have her as a colleague. Thank you.

[Applause]

MS. NUTTER: It's great to have you with us. A very warm welcome from all of us.

We follow a similar tradition in bidding farewell to colleagues. If I thought that I could keep Joe Howard from retiring by just skipping this part of the ceremony, I would do it in a minute. Marilyn Sharrow of the University of California at Davis will bid a very fond farewell to National Agricultural Library's Director, Joe Howard.

MS. SHARROW: In February 1994, Joe Howard will retire from the National Agricultural Library, where he has been director for ten years. Before he went to NAL, Joe was employed at the Library of Congress for 16 years, at the University of Colorado for seven years, and at

Washington University for two years. Joe also spent two years in Malaysia while he was a member of the Peace Corps. His Land Grant/Association of Research Libraries colleagues credit the high positive visibility of NAL to Joe's capable administration. He has been an enthusiastic team player with the various constituencies of NAL and has been eager to partner with other libraries on developmental projects such as the text digitization of the aquaculture database. His joy of life has taken him on wonderful world travels and contributed to his ability as a gourmet chef, tailor of clothing, weaver, and clay potter. Joe's staff will miss his forthright, fair approach, his "get it done" style, and his happy personality. On behalf of his ARL colleagues, we wish Joe many years of good health and interesting activities.

MS. NUTTER: Thank you. Now to business. I thought that I would take the president's prerogative to shift the order of the business meeting today to avoid back-to-back reports by the executive director and the president. This may also provide somewhat of a framework for discussion and questions.

My president's report is brief and touches only on a few of those actions taken by the governing structure. I want to call to your attention the fact that there is a very full report on ARL activities since the last report five months ago, and that is contained in your packet. Its very size gives evidence of the extraordinary level of activity within the Association. I'm going to comment on four major initiatives: the management of intellectual property and copyright related issues; membership issues; the Coalition for Networked Information; and strategic planning for the Association. In addition, I want to tell you a little bit about my activities as a member of the National Research Council's Committee on the future of the Internet. This is a Committee that is advising both NSF and President Clinton on future directions and the move toward the NII.

First, management of intellectual property an copyright-related issues: ARL has a long-standing tradition of leadership in the copyright arena, as you all know, and it was one of the critical groups that shaped the Copyright Act of 1976. This topic was a focus of last October's membership program on exercising fair use rights. The discussions of that meeting, and since, have contributed to an accelerated schedule of actions. Attacks on the principles of fair use and the concern with management of intellectual property in the electronic world of scholarly communication prompt an extension of Association efforts in this arena.

As reported to you at the last meeting, the Board had encouraged us to take a leadership role in responding to the *Texaco* court decision and, as a result, we recruited a group of organizations to file an *amicus* brief, a friend of the court brief, in the case. Most recently, representatives from four ARL Committees and the ARL Board met to discuss what actions are needed by the Association in the short- and long-term. The outcome of this discussion was an action agenda, which includes the assignment of developing a clear statement of principles to be advanced in the new electronic information environment. The Board has assigned the Ad Hoc Committee on Copyright, chaired by Jim Neal, to carry out this responsibility.

Second, membership issues: I also want to draw to your attention to the work of the recently formed Task Force on Membership Issues. Chaired by Gloria Werner, this group is addressing the questions of changes in criteria needed to reflect the changing character of research libraries; the options for inclusion of independent research libraries in Association proceedings; and the best way to provide equity of membership benefits and costs for our Canadian members. The Task Force will report to the Board in February and to the membership in May.

Third, the Coalition for Networked Information: Another topic of which you are well aware is the alliance that ARL formed with EDUCOM and CAUSE to sponsor the Coalition for Networked Information. The Coalition is enjoying considerable success under the leadership of Paul Peters, and I think we saw that beautifully illustrated this morning in Paul's presentation. Membership in the CNI Task Force is now 185 institutions, and that includes 70 ARL institutions.

Over the last several months, an assessment of CNI's first three years has been concluded. This assessment involved the Boards of the three sponsoring organizations, a

Steering Committee for the Coalition, and the various participants in the CNI Task Force and Working Groups. The review is completed, and the Coalition is assured of another three years in business.

There are three ARL representatives to the CNI Steering Committee, and let me remind you that they are David Bishop, Nancy Cline, and Sharon Hogan. Two of its agenda items should be of special interest to you.

First, a project on economics of networked information; and, second, progress on the Rights to Electronic Access to and Delivery of Information (READI) effort. These activities are reviewed in the attachment to the ARL activity report that was sent out in advance of this meeting.

Fourth, I want to tell you a little bit about the strategic planning for the Association that we expect to undertake in this next year. Our current strategic plan was adopted in 1990, and after three years' experience with it, there is a growing recognition from the Board and Committee meetings that refinements and updating are needed.

Recent downsizing efforts and the concurrent pressures to increase both our activity level and a number of capabilities have pushed ARL to put more resources into issues related to intellectual property, foreign acquisitions, STI, and cultural diversity. This situation serves to underscore the need to review the current agenda and deliberate thoughtfully about what programs and services to throw out and what to add. The Board is convinced that a complete, full-scale planning effort is not needed at this time. Instead, we'll be asking the committees and other work groups to review and assess their priorities and report to the Board before its February meeting.

We're going to add an extra day to that February Board meeting for the purposes of carrying out a retreat on strategic planning. Specifically, we'll be looking at how we, as an organization, can achieve that critical balance between the need for new capabilities or increased levels of activity to pursue aggressively major issues and objectives while, at the same time, maintaining a dues level that is acceptable to membership. In doing this, we will consider whether any existing capabilities can be reduced or eliminated; whether there is a need for new capabilities; how or whether to get the membership more directly involved in these decisions; and whether a revised, sort of longer-term budget cycle would enable more effective strategic planning. We will appreciate your input in that process.

Lastly, a little background on my involvement in a National Research Council Committee. The National Science Foundation and the White House have been seeking some expert and objective advice on the Internet, particularly in relation to the decision to shift to the private sector development of the Internet in the future. They put this responsibility on a new NRC Committee, which falls under the Communications Science and Technology Board. As soon as Prue Adler heard about the establishment of this Committee, she began to work energetically to have a librarian included on the Committee, and I can only guess that initially they probably weren't completely receptive. But after herculean efforts on her part — and I think Tom Spacek is right about what an extraordinary job Prue is doing in the area of information policy related to the information infrastructure -- at that point, I was invited to join this committee, and I was invited in my role as President of ARL.

This is a committee of about 17 people, primarily scientists and engineers, most of them people who have been involved in the development of the network -- they're advanced networking experts. The others included are those considered to be users — the scientists and engineers who are heavy users of the Internet and, particularly, the super-computing capabilities. The committee also has high-level representatives from the telecommunications industries, and one K-through-12 representative and one publisher. We had to sign a statement of confidentiality that pertains even to just the issues that we've been discussing, so I really can't tell you what's been happening. What I do want you to know is that I have very carefully tried to represent libraries as a whole; I have tried to use the position papers written by the different associations as opposed to kind of putting in my personal opinions, although I often will frequently speak up in the meetings from my own personal perspective.

We're under enormous pressure. Usually a Committee has about two years to deliberate, but they're just asking us to speed it up because they want this information, and there is a sense that they will be receptive, that they need more input into the kinds of decisions that they are making. We have nine months to do all of our work, and what comes out of this is usually a book-length report. We will be concluding our work in January, and that report will come out in April.

One of things that I've learned in doing this — and I guess this helped to shape my concern about the topic of information policy and the need to discuss this within the organization — is that all of those people in that room have been actively involved in shaping information policy for decades in many cases, they know everyone, they're in touch with everyone, and they don't leave it just to their associations to represent them. I felt an enormous sense of responsibility and guilt for not doing more to be out there personally fighting this battle and to be talking to legislators and making issues known. I think that's the one message that I hope you come away today from this meeting with. Earlier, during the program session, Nancy Cline spoke eloquently about that, along with Harold and Arthur and others.

It is very important that we be out there working on this. I know it's one more dimension to our responsibilities, but I think it's a critical one. I didn't really understand why we hadn't been involved or why we weren't invited to the table until I read Rick Weingarten's paper that was part of our program papers. He talks about the fact that users have not historically been involved in information policy development, and we are, in fact, users. I think that it is important that we work to turn that around, and I hope you will all come away from this meeting with a real interest in getting involved because perhaps it will make a difference.

That concludes my report, and we can move to other business at hand. I'd be happy to answer questions at this point. There will be a report from Duane.

Yes.

MR. SPYERS-DURAN: Peter Spyers-Duran. Wayne State University.

I am a little puzzled about the secrecy that you have agreed to in connection with your assignment. I don't understand why it is necessary — and I'm a little concerned — that there is a group working on public policy under a veil of secrecy. I just don't understand that at all.

MS. NUTTER: The rules have been strengthened more recently, and Prue can probably talk to you about that. There are a lot of cases where the people who deliberate at these levels also have personal interests in different companies — whether they be R&D companies, telephone companies, or stock owners. The other thing is that, if word got out that we were going to make a startling recommendation, it could well shift priorities within some of these industries; people may have an advantage, and that's really the perspective from which it comes.

We have a very open policy in terms of having people come in to testify. But in terms of what we're actually going to recommend when we reach that point, we're really brought in there, not as representatives of organizations with particular points of view, but as supposed experts, because these are considered to be of a scientific nature, and so what they're looking for, objective expert opinion that isn't necessarily swayed by industry or swayed by particular individuals in the community.

I don't know if anyone wants to add to that.

MR. BLACK: Susan.

MS. NUTTER: Yes.

MR. BLACK: If I could just add a small footnote to that. The practice of confidentiality of NRC expert panels is quite wide. It's the norm for those panels in all fields where they are asked, basically, to provide advice that eventually filters into the government policy process. As far as I'm aware, having been on a couple of other NRC panels over the years, they've

always functioned under that same rule. They are viewed as "independent expert panels," and are expected to function under not only the rules of confidentiality, but there are also some conflict-of-interest rules that you have to agree to, as well, to even be on one of the panels.

MS. NUTTER: In particular, they would not take recommendations from this group and then just implement them. I think they would cause the government to reopen a debate, open it to more people, look at the discussion with different eyes, for example, but there wouldn't be immediate action on any recommendations from us. In a sense I think the process is better than some of the processes we're seeing where we can't get to the table. I think I have a much better chance of getting to the table and getting our issues on the table than I would going and actually speaking before Congress.

Any other questions?

(No response.)

John Black has a report from the Nominating Committee. John.

NOMINATING COMMITTEE REPORT AND ELECTION OF OFFICERS

John Black, Vice-President and President-Elect
University of Guelph

MR. BLACK: Thank you, Susan. On behalf of the Nominating Committee, I'm pleased to present a report this afternoon. I'd like to start by thanking the other members of the Nominating Committee for their assistance and their very thoughtful participation in the process — Dorothy Gregor and Don Koepp. I very much appreciated their help on this.

The role of the Nominating Committee is obviously a critical part of the governance of this Association. This year we followed a process which was begun two or three years ago of actively seeking input and participation in the process from the member directors. Many of you participated in the process. This year about 25 of you, if I recall correctly, wrote, sent e-mail, or otherwise communicated with us about your suggestions for members for the Board of Directors. There were 37 names suggested to the Committee, often accompanied by some quite substantial comments on why the person who was making the suggestion did so, and it was a very useful part of the process.

As you will recall from the letter that I sent out soliciting recommendations, there were a wide variety of factors that the Committee attempted to blend and to balance in coming up with a slate of potential new members for the Board. A balance of these factors was certainly attempted, recognizing that there was also a need to complement the existing Board as the membership changed with people who were leaving it this year. As a result, the three nominees from the Nominating Committee are: Kent Hendrickson from the University of Nebraska; Gloria Werner from UCLA; and Jim Williams from the University of Colorado.

Thank you.

MS. NUTTER: Thanks, John. The Nominating Committee presents a slate of three ARL Directors for the Board with their term beginning this year. They are Kent Hendrickson, University of Nebraska; Gloria Werner, UCLA; and Jim Williams, University of Colorado.

Do I hear any other nominations from the floor.

(No response.)

Therefore, hearing none, I would like to call for a voice vote for directors: Hendrickson, Werner, and Williams. All those in favor please signify by saying aye.

(Chorus of ayes.)

Those opposed nay.

(No response.)

Let the record show the vote was unanimous. Congratulations.

(Applause.)

ESTABLISHMENT OF 1994 DUES

MS. NUTTER: Our next order of business is to vote on the 1994 ARL dues proposal. All members received a very detailed document in September that explained the rationale behind the request for a five percent dues increase, from $12,000 to $12,600. To open the discussion, I would entertain a motion and a second on the matter.

MS. CANELAS: University of Florida. So moved.

MS. MARTIN: Georgetown University. Second.

MS. NUTTER: Moved by Dale Canelas; seconded by Susan Martin. Thank you.
Discussion.
(No response.)
Are you ready for the question?
(Chorus of yes.)
All those in favor of a five percent dues increase, please signify by saying aye.
(Chorus of ayes.)
All those opposed nay.
(No response.)
Let the record show that it was carried unanimously.

MR. LUCKER: Massachusetts Institute of Technology. Let the record also show that at least one member thinks some part of that dues ought to be used at breakfast time.
(Laughter.)

MS. NUTTER: The record will show that.

REPORT FROM THE INFORMATION POLICIES COMMITTEE

James Neal
Indiana University

MR. NEAL: I'm reporting to you as the Chair of the Information Policies Committee. There are two key agenda items I want to bring briefly to your attention. The first relates to ARL's working relationship with the new Administration in Washington, particularly under the impact of the reinventing government initiatives.

Point one: HEA Title II programs are seriously threatened again. Through our collective action, we were able to restore successfully fiscal year '93 funding. Your phone calls, your letters, are desperately needed, emphasizing the value and impact of the awards your libraries have received and the importance of these programs to the developing national network. Prue is available and eager to provide you with the names of the members of the key committees and their staff members for you to contact. Title II is gone unless we do something about it.

Point two: The Federal Depository program. We are facing what we called in the Information Policies Committee yesterday a "sea change." In this program, which is so critical to our library collections and services, the National Performance Review has produced an urgent situation. As Scott Bennett noted in our meeting yesterday, the process of tearing down the current system is perhaps moving faster than the construction of its successor. The Information Policies Committee advocates a leadership role for ARL in developing the successor depository system. We need to pursue an educational and political agenda and build alliances with ALA and other groups on this initiative. The Information Policies Committee will be working on this intensively over the next several months.

Point three: There is a frantic environment in Washington. Information and networking are on the lips of key leadership. Libraries are hot, but we are not being supported or routinely involved in key discussions.

We need new strategies to educate ourselves, our university administrations who talk with our legislators, our federal lobbyists, and Washington political and staff leadership. We need to be at more tables, and we need to establish our positions on more critical issues than we have the resources to support.

The Information Policies Committee will be developing and proposing several strategies to ARL, but there is one prospect I want to bring to your attention today. That is, the Visiting Program Officer effort of ARL. This is a way for ARL members, you, to contribute staff expertise and experience to our common good in priority areas.

Two areas of particular need today are access to government information and copyright. We need to think about this as a career opportunity for outstanding librarians in our libraries and at our universities. I encourage you think about that as well.

The second agenda topic to highlight today concerns developments at the Library of Congress. There are three points here that I want to quickly make.

First: model agreements relating to public access to CD-ROMS that LC acquires by copyright deposit. It is unclear what impact these model agreements will have on electronic information resources acquired through regular channels. Our interest in ARL is to confirm that these agreements developed with LC are unique to LC, and not precedent-setting by publishers in negotiations with our libraries. We have written on this matter, and we are waiting for a response.

Second: the Library of Congress Fund Act of 1993. Discussions and negotiations have continued on this legislation, most recently, without the representation and involvement of the library associations. We are concerned about new amendments that are in the legislation related to copyright, in particular the absence of fair use provisions and the removal of

monitoring protection provisions. We may face, as soon as in the next few weeks, a request to take a position on this legislation.

Lastly: the ACCORD Initiative. The ACCORD is an advisory committee appointed by Dr. Billington to respond to the Copyright Reform Act of 1993. Focus is on copyright registration and deposit. Bob Wedgeworth and the former register of copyrights, Barbara Ringer, are the co-chairs of ACCORD. We must support efforts to strengthen inducements to register, not the repeal of the deposit requirements. I think we're fortunate to have one of our own members as a co-chair of this organization and to monitor this development from the point of view of the research library.

Thank you.

MS. SHAPIRO: Rice University. I have a question about the HEA funding. Are there discussions on the Hill with respect to redefining what the role of HEA funding would be? I'm asking the question because I wonder if the days are past for big cataloging projects and microfilming projects, and little dinky networking projects; and perhaps there is some other approach that we may talk about — some new directions that such funding ought to take.

MR. NEAL: There have been discussions on the Hill and, in fact, we have been successful, I think, in shifting thinking about HEA Title II provisions to look at the role of the National Information Infrastructure (NII) and networking and the role that libraries have in that. I think there's been acceptance of that re-thinking about the HEA titles.

I think we also need to emphasize that the information resources and the pointers to those information resources in our libraries are critical elements on the network as well, and I think that, over time, assuming the retention of the HEA Title II programs, there will be a migration perhaps to different types of projects. I think we have made that effort, and it has been accepted as a different role that libraries may be playing.

MR. WEDGEWORTH: Bob Wedgeworth, University of Illinois–Urbana/Champaign.

Jim, I'd just like to add two quick points to your report. I'm sorry I had to miss the session this morning.

This morning the House Committee received a substitute amendment for the Copyright Reform Act that incorporated all of the recommendations that the Library of Congress wanted that you just reported on. I think when this comes up for hearing it will be important for the research library community to express its interest in the expanded mandatory deposit provisions that are being given to the Library of Congress, to take in not only published works but publicly disseminated works as well.

One question. This morning I had a question from one of the Members of Congress who wondered if the library community was interested in the new provisions that have been proposed, sponsored by some of the copyright prior entrants, to expand the term of copyright from life of the author plus 50, to life of the author plus 70. Recently, the archivist and some of the film documentation people have come out in opposition to that. I think we might want to ask our people in archives and special collections about their interest in this because we have not been heard from on this issue.

MR. NEAL: Bob, do you think it's possible that you might be able to put that question out on our ARL director's list?

MR. WEDGEWORTH: I'm going to talk to Prue about it this afternoon.

MR. NEAL: Fine. Thank you, Bob.

Any other questions or comments.

(No response.)

MS. NUTTER: Thanks, Jim, for that important report. We didn't receive any questions for an off-the-record discussion, so we won't have one today, but we'll continue this practice for at least another meeting to see if there's any interest in that.

I am now going to ask Duane Webster to give the report of the Executive Director.

EXECUTIVE DIRECTOR'S REPORT

Duane Webster
ARL Executive Director

MR. WEBSTER: Thank you, Susan.

Let me start by thanking the membership for the support that made our new office space possible. Now that you've seen the space, I hope you'll agree that this is an important new asset for the Association.

(Applause.)

It's been a long time in coming, but it certainly gives us an extraordinary presence on Dupont Circle, a place to work, a magnet for other groups in the higher education community to come, to discuss, to work in our conference room, to meet with us, and to deal with issues that are important to research libraries. Very importantly in that arrangement, it puts ARL into a number of discussions that we wouldn't otherwise be in.

I also want to congratulate the accomplishments of a very hard working and committed staff. As you know, this group is working in your interest, working on a very full agenda, and, as Susan mentioned, this is a set of activities that's fully described in the activity report, given to you in advance of this meeting. I think it is worth noting that part of what you have available to you with this core of superstars here is an ability to respond to issues that can't be planned for, can't be anticipated, and can't be budgeted for.

In the course of this last year or so, we've had a number of bombshells, and the staff has been able to handle them: the Clinton Administration decided to zero out Title II, and now they're reinventing the government at the library's expense it seems; the *Texaco* decision and the attack by some publishers on fair use, which has called for a response.

There have also been attractive opportunities, interesting events, such as the AAU Research Libraries project, which we were able to respond to and, in these last few months, has taken an enormous amount of time and energy from us. This is an example of things that we just couldn't have anticipated. The opportunity to publish The Andrew W. Mellon Foundation study, *University Libraries and Scholarly Communication* was a great opportunity to get the message out to the people we want to hear it. Yet again, that came on top of plans and priorities that were already committed. Commitments were already made, and the staff — your staff — has been able to turn on a dime and engage those both wanted and unwanted opportunities and be able to deal with them very well. I wanted to start by congratulating them for a heck of a nice job.

(Applause.)

One issue that's getting a lot of current attention is the future direction that the ARL statistics and measurement efforts need to take. As you recall, the membership voted support for an expanded statistics and measurement capacity last year at this meeting. This expansion is intended to refine, streamline, and automate our current data collecting and publishing efforts. We also intend to develop further measures of library performance and electronic access. We want to provide analytical services that would be of value to you in supporting your campus-based responses to budgetary and performance pressures.

Key to this expansion and capability is recruiting a new, full-time program officer for statistics and measurement. We've been engaged in doing this through advertisements and recruiting. We've secured over 40 applications of interest and are interviewing six individuals who seem most closely to match our interest. It is apparent, however, that no one person will fully meet the range of expectations that we have for the position.

I must tell you that I'm disappointed we've not been able to move more quickly to recruit for and fill this position. It's been more difficult, and we have been forced to be more persistent in our pursuit than we had expected initially. Fortunately, the Statistics and Measurement

Committee and in particular Bill Crowe, the chairman of that Committee, has been very helpful in working with us to determine what tradeoffs are really going to be needed in terms of experience and potential that would contribute most to this position.

As a result, we've agreed, following discussions with the Committee this week, on the approach of looking at a more junior person, a person that has less experience but good academic preparation and good exposure to research libraries; a person who we would invest in and develop over a three-to-five-year period. We expect to have that position filled by the end of the year.

I do want to say that we've been incredibly lucky to have Nicola Daval available to us, to get us through this transition period. We would have truly had a crisis situation without her available to us. I would also say that with Kendon Stubb's, Gordon Fretwell's, and the Committee's help, we've been able to move forward on the enhanced program in the statistics and measurement area that we had hoped to achieve this year. We have made some advancements, particularly with the automation of the data-gathering effort.

Another item I'd like to mention is the Higher Education Information Resources Alliance — which we call the HEIRAlliance, for short. The HEIRAlliance is an outgrowth, again, of our partnership with EDUCOM and CAUSE. That's the partnership that created the Coalition for Networked Information, and currently is working to put together a series of executive strategies or reports on important issues that are directed at the chief executive officer in universities. The second of those issues was published this summer, and it actually capitalized on the Mellon study, focused on university libraries and scholarly communication. In fact, the HEIRAlliance report took the message of the Mellon report into a number of places within the university that we have not been able to reach through other distribution methods.

The most recent HEIRAlliance report is "What Presidents Need to Know ... about the impact of networking on campus." I draw your attention to it because there are three of our members that are featured in this report — the University of Guelph, the University of Michigan, and Case Western Reserve University. Those three institutions, in particular, have very important developments in the networking arena. The four-page summary statement briefly describes these developments. I want to alert you to the availability of case reports that go along with that summary statement. You have to ask for those case reports specifically from CAUSE, and they are worth asking for. They're very informative in terms of what is happening at those three institutions.

As a final topic, I want to cover several administrative items. The survey of directors to determine level of satisfaction with the electronic listserv shows that there is general satisfaction with this new service. As of yesterday, we have received about 50 responses; 75 percent of those of you responding were either quite satisfied or relatively well satisfied with the service; 11 percent were neutral. That is, you couldn't make up your mind whether you were satisfied or dissatisfied; 13 percent expressed some dissatisfaction, but nobody expressed strong dissatisfaction.

The single biggest concern is the tendency for directors to respond to requests for information by pushing the reply button that sends the response to everybody, and then people feel it clogs their list. I urge you, when you do respond to surveys, to respond in terms of mailing a direct response to the individual making the request. That might answer some of the concerns with how the listserv is being used. The Board has really encouraged us to continue to experiment with the listserv as a service. People like it, it is being used, it does seem to create a new level of exchange among the directors, and that is a very healthy event.

The Board has also asked us to consider putting together a list devoted just to survey requests. This could take the place of the on-demand SPEC surveys and would actually be operated as a moderated list; that is, with somebody managing the responses, then packaging, summarizing, and reporting out other responses. Brigid Welch and I will be working to see how this might be developed as an additional service.

Another idea is to set up an ftp file and a Gopher service for ARL documents. John Black is going to work with us on that and has encouraged us to look at that as a possibility.

Many of the Committee agendas, Minutes, and discussion documents, as well as Committee rosters and membership rosters, could be made available to you as you need them.

Financially, the Association has completed the first three quarters of this year about seven percent ahead of our budget for expenditures. We have a $2.4 million budget for the year. We are running ahead of budget because of this full level of activity, and because of some of these new expenses, the *Texaco amicus* brief, in particular. We have, however, had good success in attracting support from other organizations to cover those *Texaco* efforts, and we are also having good success with our cost-recovery efforts and continue to project a balanced budget for the year.

Finally, I want to thank you for your willingness to "step up to the plate" and to work on the issues that are important to your future and important to the future of research libraries. Whenever we've asked for help, you have been there, you have responded, and your ideas are always available to us. Your energy and your leadership is what has made this a partnership of talented staff and visionary leadership. It is the partnership that makes the Association work so well.

I also want to acknowledge that one of the real pleasures of this job is having the opportunity to work closely every year with one of you who is elected president of the Association. It's an opportunity to develop a much better understanding of an individual's talent and their ideas. In this last year, I've been very fortunate to work closely with Susan. She's contributed an awful lot of her time and energy. She's worked directly with me on any number of occasions and, as she indicated, with her National Research Council work. She's represented ARL very well in many arenas. It's been a joy to work with her. I'll miss that, Susan.

Thank you very much.

(Applause.)

MS. NUTTER: What Duane was really doing was reminding me that it was time to pass the gavel. I'll make only a few brief remarks.

I feel very privileged to have served as your president, for many reasons. I respect, admire, and value you, my colleagues, so very much, and I've learned from you constantly. I believe in the Association, and I'm deeply committed to it. As we members have worked with an exceptional staff, through a robust committee structure, to strengthen the organization and to make it more aggressive in pursuing its agendas, I have come to value it even more.

In appointing Duane as Executive Director, we chose a leader, not simply a senior executive staff person, and it has resulted in an organization with real vision and with a strategic program to meet its goals. Duane has assembled a staff in his own mold, and every single staff members leads in his/her own arena. That's what we wanted, and that's what we're getting. Not only does it further our organization in an exponential fashion, it makes us all look very good, and it always makes your president look good. This meeting has just been one more example of that.

Last but not least is your Board, which has provided exceptional service also. There's a climate and a culture in ARL that brings out the best of us, and I've seen a Board that puts the organization and its membership up front in every discussion and every decision. They work very hard, they discuss, they criticize, they dissent, but in a way that keeps them working together as a cohesive team, and I assure you that they're serving you very well. Three of them leave the Board today, and we, especially I, owe them deep appreciation for their leadership.

I am going to ask them to come forward now to accept a memento of their service. Would Emily Mobley, Joan Chambers, and Arthur Curley please come up.

MS. NUTTER: We wanted people who had served on the Board to have a memento. These are designed with the ARL logo on it, and they're quite beautiful. I hope you all enjoy them.

(Applause.)

I can't say good-bye without also acknowledging my debt to those past presidents who guided me and my years on the Board. Marty, Marilyn, Arthur, thank you.

And now I have the special privilege and unique opportunity to turn the gavel over to ARL's first Canadian president, and may there be many more of them.

John Black, please come forward. Congratulations and *bon sens*.

(Applause.)

MR. BLACK: Thank you very much, Susan, and perhaps your comment as you passed me the gavel is the most appropriate one of the day — "hang in there." Also, thanks to all of you for your support and best wishes as I take on this role.

I'm going to take a minute of your time just to make a couple of observations as I start my tenure in this position, because sometimes I feel as though we're all living through that ancient Chinese curse — "May you live in interesting times." The presentations today have given us a number of reminders of the key issues we face and the very interesting times we live in. There are many other issues we face in addition to the ones we have talked about today.

The year ahead for me will present many challenges. It will present many challenges for ARL, many for our institutions, and many for all of us as individuals. Taking on the responsibility of being president of this Association is both an exciting and a challenging prospect. I feel it's only fair to say it would also be a very daunting one if it were not for three things that I would like to mention now.

First of all, the tremendous support for all of you for the Association and for me, personally. Secondly, the outstanding staff, as has been referred to on many occasions today in the ARL office: Duane and all of his colleagues. I look forward to working with them all much more closely in the year ahead. I'm reminded, actually, when I think of the staff, of the

quotation from that eminent philosopher, Vidal Sassoon, who said, "When you look good, we look good."

(Laughter.)

On the basis of the staff, we look damn good.

I would also like to say that the other part of the role that helps tremendously is the Board. The ARL Board is the most constructive collaborative, and positive Board that I have ever encountered in any organization. I think that, as an association, we are extremely fortunate in that group, and I very much look forward to working with them in the year ahead.

I also want to thank Susan, personally, as well as on behalf of the organization. As the classic saying goes, she's a tough act to follow. She has brought to the organization a number of very important things during her presidency: thoroughness, thoughtfulness, perceptive analysis of many situations, commitment, and caring for this association, for its member directors and for its staff. And we thank you very much, Susan.

(Applause.)

You may not realize that Susan just confessed to me that the reason she agreed to take on the presidency in the first place is all in this little gray box which, for those of you who don't know what's in the light gray box, perhaps Susan will show you.

MS. NUTTER: I collect paperweights, and when I saw this —

MR. BLACK: It's an ARL paperweight.

Just before we close this afternoon, a couple of logistical announcements that I'd like to make.

First of all, to urge you all to attend the reception for the award ceremony for Congressman Fazio. It's going to be a nice event. It's also an important event because it recognizes a congressman who has had a major, significant role in the development of libraries in this country. I hope you can all be there to help us make that recognition. As Jim pointed out — and as pointed out on a number of other occasions today, it also helps establish visibility for us and our community on the Hill, and your presence there will certainly help us establish that.

On that note, I will close the meeting off and try not to break the handle of the gavel.

(Applause.)

APPENDICES

ASSOCIATION OF RESEARCH LIBRARIES

October 4, 1993

TO: Directors of ARL Libraries

FROM: Duane E. Webster

RE: AAU Research Libraries Project - Interim Reports

Last Friday the attached set of interim project reports was sent by the Association of American Universities to the Presidents of the 56 AAU member institutions. For your convenience, we have added to the AAU mailing a copy of two recent articles from the ARL Newsletter that provide background and context for the project.

These materials are background for two upcoming meetings: the AAU meeting on October 18 and the ARL Membership Meeting Program Sessions IV and V, scheduled for Friday, October 22. On each occasion, the three AAU task force chairs will make reports and be available for discussions. The feedback provided will help guide their work over the next six months of the project.

At the urging of the AAU Project Steering Committee, the task forces are developing options for action that take a university-wide and long term view of providing support for scholarly access to research resources. If you are in an AAU institution or not, we encourage your attention to the enclosed reports as we believe the project presents research libraries with an opportunity to be actively engaged in development of an agenda for influencing scholarly communication.

Should you wish to copy and redistribute the attached materials for use in your library and institution, we suggest that you accompany the material with a note that underscores that these are working documents currently under discussion within AAU and ARL.

We look forward to your response to these reports.

cc: AAU Task Force Members

ASSOCIATION OF AMERICAN UNIVERSITIES

RESEARCH LIBRARIES PROJECT

- Background information on project(from ARL Newsletters)
- Interim reports of the AAU Task Forces:
  - Task Force on Acquisition and Distribution of Foreign Language and Area Studies Materials
  - Task Force on a National Strategy for Managing Scientific and Technological Information
  - Task Force on Intellectual Property Rights in an Electronic Environment
- List of Task Force participants
- Selected tables and charts on research library trends

October 1993

AAU Initiates Research Libraries Project

The Association of American Universities Research Libraries Project began in January with a meeting of participants hosted by the University of Chicago. This AAU initiative, undertaken in collaboration with ARL, engages a range of university expertise on issues affecting research libraries and their capacity to acquire, manage, and disseminate scholarly information. The expected outcome is agreement on strategies that will ensure effective scholarly access to research resources at costs that are sustainable and recommendations for action by institutions of higher education and by the U.S. Government. (See *ARL 165*, page 3.)

In a plenary session, Project Steering Committee Co-chair Hanna Gray, President of the University of Chicago, set the tone for all project discussions by noting that the entire university is being transformed by changes in the creation and production of knowledge. What it costs to produce knowledge, she observed, is increasing, demonstrating a phenomenon that has been called "the sophistication factor." While the library is particularly affected, the solutions must be framed in an institution-wide context. She added that she expected, in the long run, a successful institution will be one that becomes more selective and strives to differentiate itself from others in what it offers to faculty and students. In turn, libraries will need to become more differentiated and interdependent.

Richard Ekman of The Andrew W. Mellon Foundation and Duane Webster, ARL Executive Director, each spoke to trends in publishing and technology and the impact of these trends on research libraries. Both highlighted findings of the Mellon-sponsored study, *University Libraries and Scholarly Communication*.

Discussion in the plenary session underscored that the traditional library approaches to building stand-alone, self-sufficient collections (e.g., the "ownership" model) are no longer viable as library funding levels are unable to keep pace with the higher costs of acquiring research resources or to support increasing user demands and service expectations. As a result, user demands are increasingly met by reliance on what has been characterized as the "access model": that is, on-demand fulfillment of local user requests from other library collections via interlibrary loan, document delivery, and other forms of resource sharing.

A number of participants spoke to the fragility of the access model as there are fewer and fewer libraries positioned to keep building and maintaining comprehensive collections and to respond to resource sharing requests from other libraries. There were suggestions that, in order to maintain strong North American access to comprehensive collections of research resources, coordinated institutional responses are necessary.

Themes from the plenary session discussions re-emerged in each of the task force meetings that followed. The Task Force on Acquisition and Distribution of Foreign Language and Area Studies Materials discussed the importance of identifying changes in academic disciplines and scholarly demands for foreign materials. There was agreement that a distributed model, national and even international in scope, would be an effective strategy to pursue. The task force suggested five areas for examination: existing cooperative collection development systems; scholarly needs for foreign materials; the impact of a national collection and distribution model on local and remote access to resources; existing networks, linkages, and exchanges among U.S. universities and overseas institutions; and the economics, organizational requirements, and contractual components of cooperative agreements.

The Task Force on a National Strategy for Managing Scientific and Technological Information concluded that, while a common vision of providing desktop access to multiple forms of media may be shared among members of the task force, unresolved questions include (1) the timeframe for the transition from the status quo to this vision by various types of users and (2) the impact of this transition and its speed on current users, some of whom may not be adequately prepared for using electronic information. The task force will focus initially on the identification of preferred scientific information management models and the institutional and federal roles required to support them.

The Task Force on Intellectual Property Rights in an Electronic Environment concluded that there is a need to make the university community in general more aware of the economic realities of academic publishing and the legal conditions under which such activity takes place. There is also a need to renew efforts at building bridges between the teaching and research arms of the university and the publishing enterprises that serve them, in particular, university presses. The task force will examine innovative electronic publishing practices such as the Yale University Press Perseus CD-ROM database or the Thesaurus Graecae collection and reconcile them with existing legal and institutional guidelines. The general approach will be to identify opportunities for improving the management and ownership of university-generated information under current legal and economic arrangements and then assess what additional initiatives might be needed to produce university information management systems that accommodate the needs of emerging forms of scholarly communication.

Each task force will pursue its agenda and is expected to produce a substantive progress report by October 1993; the project is scheduled to conclude in April 1994.
—*G. Jaia Barrett*

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ARL

A BIMONTHLY NEWSLETTER OF RESEARCH LIBRARY ISSUES AND ACTIONS

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Current Issues

AAU Develops a Framework for Change

The Research Libraries Project, initiated last year by the Association of American Universities (AAU), has concluded its initial phase. The project focuses on the changing nature of scholarly communication, including the cost of managing research library collections, and the robust deployment of new technologies in support of scholarship. The project goal is to identify actions that will encourage campus constituencies to recognize the value of change — change in the library and elsewhere on campus — in order to maintain and extend scholarly access to research resources at costs that are sustainable.

The project is an initiative of AAU undertaken in collaboration with ARL and with the support of The Andrew W. Mellon Foundation. The expected outcome is agreement on the key problems and on solutions, and recommendations for action by AAU, ARL, and possibly other groups.

Since the initial project meeting in January, some three dozen individuals from the academic community — librarians, faculty, technologists, and academic administrators — have served as members of one of the project task forces to focus university-wide thinking around three topics:

- the acquisition and distribution of foreign language and area studies materials;
- the management of scientific and technological information; and
- the management of intellectual property rights in an electronic environment.

The three task forces met separately over the last six months, and on August 19-20, they met together in a plenary session to conclude the initial project phase of issue analysis.

The AAU Research Libraries Project is under the direction of an AAU Steering Committee comprised of presidents of AAU institutions. Project chair Myles Brand, President of the University of Oregon, reiterated as he convened the August plenary meeting that the Steering Committee seeks recommendations from the project that will assist universities to achieve a greater return from the current level of investments made in the collection and distribution of research collections. He also emphasized that the Steering Committee recognizes that the issues under scrutiny can no longer be addressed through "business as usual," hence the project focus on innovation and change.

Common Themes in Task Force Reports

Discussions at the August meeting made clear that each task force sought to develop strategies with dual purposes: exploitation of the full potential of communications and computing technologies for innovative applications in research and teaching and investments and / or changes that will demonstrate long-term cost advantages for universities.

In spite of the distinctive scope of each of the task forces, the following emerged as common themes during the August discussions:

- the importance of ubiquitous access to networked information resources and to technical support for all campus constituencies;
- the need to accelerate electronic delivery of information resources, as well as reference and instructional services, to users;
- the need for effective management of intellectual property rights, the very precepts of which underpin information distribution;
- the advantages of encouraging cost-based (as

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opposed to market-priced) electronic publishing and to identify incentives for an author to make research writings available via networks;
- the value of experimentation in network-based access, delivery, and consultation services that serve to demonstrate capabilities, provide a larger base of experience, and that allows user feedback to be incorporated into redesign and deployment of further experimentation; and
- the need for systematic discussions with campus constituencies about the implications of the issues under discussion for the university as a whole and why change is necessary.

Foreign Language & Area Studies Materials

John D'Arms, Vice Provost for Academic Affairs and Dean of the Graduate School, University of Michigan, chairs the AAU Task Force on Acquisitions and Distribution of Foreign Language and Area Studies Materials. This group is charged to develop a strategy for increasing acquisitions of foreign imprint materials and expanding access to them. With evidence available from the related but separate ARL Foreign Acquisitions Project, the AAU Task Force accepted as an operating assumption that research libraries are faced with eroding collections of foreign materials at the same time that world publishing output is increasing. Given these trends, the task force focused its deliberations on developing the concept of a network-based system that supports student and scholar access to distributed collections of foreign imprints in order to restore the range of significant foreign publications that are available to support research, teaching, and scholarship.

The task force has adopted a number of organizing principles or prerequisites for an effective distributed networked approach. They are:
- the necessity for a fully developed campus network and supporting information infrastructure;
- a broad-based commitment among research institutions to maintain foreign acquisitions adequate (but not necessarily comprehensive or complete) to meet North American research needs;
- the importance of flexibility of approach to both the acquisition and the distribution of foreign imprints due to different approaches to the study of world areas and the diverse publication patterns of foreign nations;
- the value of collaboration between existing programs, organizations, and consortia, including U.S. and Canadian national libraries, and foreign libraries, archives, and information centers that support the program's goals; and
- the requirement for increased mechanisms for collective consultation and evaluation.

The task force will develop recommendations for demonstration projects that test the potential and limits of the concept of a network-based system to support access to distributed foreign language and area studies collections and services.

Scientific and Technological Information

Richard West, Associate Vice-President for Information Systems and Administrative Services, University of California System, is chair of the AAU Task Force on a National Strategy for Managing Scientific and Technological Information. This group was asked to examine new options for the management of scientific and technical information that would break the extraordinary information cost spiral and allow for innovative applications of information technology. At its initial meeting, the task force agreed upon a common vision of providing users with desktop access to multiple forms of media that supports scientific research and teaching.

The task force adopted an analytical framework that identifies all of the functions of the system of scientific and scholarly communication (i.e., authoring, informal peer communication, editorial and validation, acquisition and access, location and delivery, preservation and archiving, etc.) as well as the performance attributes by which such systems are measured (i.e., timeliness, authenticity, cost, etc.).

The analytical framework was used to develop and evaluate information resource management (IRM) models, designed as descriptive (not predictive or prescriptive) scenarios that are representative of various ways that scientific communications have worked or could work in the future. Three scientific and technical IRM models were portrayed as the *classical* (print-based), the *modernized* (defined in three tiers with a mix of paper and electronic in-puts and out-puts and increasing access to university generated writings), and the *emergent* (in which scientific collaboration takes place entirely on the network).

Based on this analysis, the task force draws several conclusions:
- that an effective national strategy for managing scientific and technological information must recognize and address all of the functions of the system of scientific and technical communication and achieve the performance that the research and education community depends upon and values;
- for the foreseeable future, however, no single scientific and technical IRM model will emerge to fulfill all of the functions;
- the classical, print-based model is both unaffordable and unresponsive to new scientific communication patterns and to innovative research opportunities; and
- a mix of IRM models, including the classical, is inevitable during a period of transition.

As a result, the task force identified the following actions that would speed a transition from university reliance on the classical model to those models that offer potential for cost advantage and innovation:

- an increase in cost-based publishing outlets for STI;
- an influence over the current imperfect, monopoly-like market that exists for STI journals; and
- the migration of STI publishing to electronic channels as a viable substitute, not supplement, to publication in printed journals.

The task force underscored the importance of development of a university policy and mechanism to retain in the non-profit sector some or all of the ownership rights of the intellectual property that is created by university faculty and staff. A strategy that promotes non-profit ownership and cost-based electronic distribution of scientific articles authored by faculty of North American universities would enhance access to these writings in all non-profit settings.

Task Force on Intellectual Property Rights in an Electronic Environment

The Task Force on Intellectual Property Rights in an Electronic Environment, chaired by Peter Nathan, Provost, University of Iowa, was charged to develop proposals for university policies governing intellectual property ownership and rights, particularly in an electronic networked environment; to examine emerging possibilities for the creation and dissemination of electronically based information; and to develop proposals by which universities could provide faculty and students with new options for collection and dissemination of research and scholarship. The task force pursues this charge with two goals paramount: expanding access to university generated information and containing the costs of doing so.

The task force is in agreement that, while existing Copyright Law supports teaching and research in several vital ways, the extent to which universities and libraries are successful in using the information they buy depends in large measure on how aggressively (versus how cautiously) they employ these provisions. Knowledge about the law as it impacts authoring and teaching is currently not good, and misunderstandings prevail. In particular, the relationship between copyright transfer and the work's subsequent use on campus or in one's own work is poorly understood. There is a real need on campuses for a central place where consistent and reliable assistance on copyright matters can be found.

The task force also observes that university presses are, in many cases, not integrated very well into the universities' mission. University presses may regard themselves more as a type of commercial press than as supporters of the educational and research mission of their own university or of their group of universities. The potential of university presses currently represents a lost opportunity.

Likewise, to a large extent, professional and learned societies should be recognized as "us" in that they serve the discipline and profession; many faculty have stronger affiliation to their field than to their institution. The societies fulfill their missions generally in a highly exemplary fashion, but links to universities could be strengthened.

There is no consensus in the task force about the future role of today's publishers or about potential new relationships between authors and readers or authors and libraries. There is agreement, however, that the turbulent environment of the present will only accelerate for the remainder of the decade, with publishers seeking a range of pricing and distribution strategies as they shape their roles in the electronic environment.

Six options for university management of intellectual property will be examined by the task force: enlightened status quo; faculty retention of ownership with licensing of certain uses to the university and / or to publishers; joint faculty / university ownership; university ownership; ownership by consortial body with collective rights negotiated; and joint faculty / consortial body ownership.

In August the task force drafted four policy bases to guide their recommendations for university action concerning the management of intellectual property rights of campus authors. The policy bases are that any change in university management of copyright should:

- enhance the ability of universities to advance their teaching, research, and service missions;
- enhance the excellence of research and teaching;
- not infringe upon the royalty income of faculty authors; and
- help universities to operate more cost-effectively and to contain increases in operating costs and the high capital investment needed for teaching and research.

Next Steps

A preliminary report on the project and a discussion of options for action will be part of the AAU and ARL membership meetings this October. The project is scheduled to conclude in April 1994.

Article based on AAU Task Force reports prepared by Iata Barrett, Diane Harvey, Ann Okerson, and Jutta Reed-Scott. Previous reports on the AAU project appear in ARL 165 *and* 167.

AAU TASK FORCE ON ACQUISITION AND DISTRIBUTION OF FOREIGN LANGUAGE AND AREA STUDIES MATERIALS

Interim Report January through August 1993

CHARGE

The AAU Task Force on Acquisition and Distribution of Foreign Language and Area Studies Materials was charged to develop and examine options for improving access to and delivery of foreign language materials. The gap between demand, supply and availability of foreign language materials in U.S. and Canadian research libraries underscores the importance of this investigation. Despite increasing emphasis, in both the public and private sector, on international interdependence ("on the global village"); and despite increasing commitments in the research universities to fostering "internationalization" in both the curriculum and in research; and despite the exponential growth of available foreign language titles in general, American and Canadian research libraries have actually been reducing acquisitions of foreign publications due to financial constraints.

The strategy as articulated in the Task Force agenda has four components:

- Developing a measure of needs and priorities for foreign materials by world area;
- Establishing specific national acquisition targets;
- Developing models for collection and distribution of foreign materials; and,
- Developing a plan of action for securing the requisite funding.

VISION

The Task Force envisions the development of a network-based, distributed plan for coordinated collection development of foreign language materials among U.S. and Canadian research libraries. A network of U.S. and Canadian research libraries would share responsibility for collecting foreign imprint publications, and the participating libraries would function as access nodes in a "distributed North American collection for foreign materials." Such a multi-institutional network of coordinated collection building would require consensus and contractual agreements among research libraries and their constituent scholarly communities. The cornerstone is building the electronic infrastructure to improve access to and delivery of information resources in foreign language, area and international studies.

Organizing principles for the network include building a broad-based commitment to maintain foreign acquisitions adequate to meet national needs; building an area-based model that recognizes and is responsive to the differing needs and special characteristics of diverse areas; implementing an evolutionary program for a distributed North American collection for foreign library materials; working with the Library of Congress, National Library of Medicine, National Agricultural Library, Center for Research Libraries, and other "national" institutions and utilizing existing programs, organizations, and consortia that support the program's goals; strengthening linkage with foreign libraries, archives and information services; and incorporating mechanisms for collective consultation and evaluation.

The success of this plan depends on several factors. Central is the support of faculty who have been convinced that this plan, on balance, produces improved results. Those results should include a substantial increase in numbers and availability of titles acquired in the respective areas with more comprehensive coverage to which all scholars have access. The electronic infrastructure is at the point where scholarly access to acquired materials can be improved. A successful plan will also maximize resources through reallocation of institutional funds.

METHODOLOGY

The Task Force's approach, as defined at its initial meeting in January 1993, emphasized four aspects in its work plan. The primary focus has been on developing a distributed service model for the acquisition and distribution of foreign materials. Under such a model, selected libraries would function as "nodes" to provide acquisition and distribution services to a set of libraries using pooled resources, and these nodes would be interconnected to form a national network (Report 1-a). A second effort is considering strategies for educating scholars on campuses about the impact of a new model for collecting and distributing foreign materials. A third step will be studying strategies for implementing such a program. Finally, the Task Force is building on the efforts of the ARL Foreign Acquisitions Project, in order to develop priorities for foreign materials by world area.

At its August, 1993 meeting the Task Force further refined the concept of the distributed model and identified two, and possibly three, demonstration projects. Initially targeted areas are: (1) Latin American acquisitions, (2) German acquisitions, and perhaps Japanese acquisitions.

These areas were selected as areas that will require widely varying acquisition and distribution models. The rationale for Latin American acquisitions is threefold. The Seminar for the Acquisition of Latin American Library Materials (SALALM) has a proven history of success in facilitating cooperative collection development programs and would provide the organizational support. The Andrew W. Mellon Foundation has recently indicated its intent to provide substantial funding for building a hemispheric, distributed system for Latin American library resources that would link North and South American research libraries. Lastly, Latin American research materials are available almost exclusively in print at present; however, electronic resources are beginning to be available.

The rationale for German acquisitions is based on the fact that a pilot project would cover a part of Western Europe, a high impact area. For Western European studies, the number of faculty is substantial and has expanded. Library research materials are expensive. The booktrade and subject bibliographers are well-organized. Finally, digitization technology is well-advanced.

Consideration is also being given to a project on Japan. A demonstration project would build on the support for network connections among the participants of the recently established National Coordinating Committee for Japanese Libraries. It would also expand current efforts of digitizing and accessing Japanese texts via the Internet.

PRELIMINARY FINDINGS

1. The Task Force believes that a distributed networked program is the most effective means of providing access to foreign materials in research libraries. Such a program builds on the current architecture of collaborative interdependence among research libraries. It also offers the

opportunity to utilize advances in technology to facilitate delivery of foreign research resources.

In order to build toward the long term goal of a distributed North American collection, the Task Force believes that two or more demonstration projects should be launched to show how different world areas can be incorporated into an overall program. The demonstration projects would aggressively test the barriers to distributed access and evaluate the impact on faculty.

2. The Task Force identified several strategic objectives that must be addressed:

- the need to develop campus networks and build the electronic infrastructure to support electronic access and delivery that are crucial to the success of a distributed North American collection

- the need to articulate incentives for moving from local to remote access, where an individual institution's library may "own" less, but have access to much more

- the need to build support among faculty

- the need to address issues relating to managing intellectual property rights with the recognition that copyright laws differ substantially across world areas

- the need to develop organizational structures and selection mechanisms to support the building of foreign language collections on a multi-institutional, cooperative basis

NEXT STEPS

- Further refinement of the program, and development of demonstration projects;

- Involvement of the North American national libraries (Library of Congress, National Library of Medicine and the National Agricultural Library), the Center for Research Libraries, the National Library of Canada, and other organizations in the further development of the program.

- Cooperation with the Intellectual Property Task Force to examine intellectual property issues.

- Further investigation of strategies for building support among faculty on university campuses and for informing them about the impact of a distributed model for coordinated development of foreign acquisitions and the electronic means to support off-site access.

- Consideration of issues in electronic information management of foreign acquisitions.
- Further investigation of funding options.

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September 28, 1993

PLAN FOR A NETWORK-BASED DISTRIBUTED PROGRAM FOR COORDINATED DEVELOPMENT OF FOREIGN ACQUISITIONS FOR U.S. AND CANADIAN RESEARCH LIBRARIES

This summary reflects discussions at the AAU Task Force on Acquisition and Distribution of Foreign Language and Area Studies Materials meetings on June 10, 1993 and August 19, 1993. It is also based on comments and advice received from the ARL Research Collection Committee and ARL Foreign Acquisitions Project Task Force. It describes the general properties of the plan. Deliberations are continuing on a more specific action plan.

OVERVIEW

The plan envisions the development of a network-based, distributed program for coordinated collection development of foreign language, area and international studies materials among U.S. and Canadian research libraries. The plan describes a system in which participating research libraries would share responsibility for collecting foreign imprint publications, and would function as access nodes in a "distributed North American collection for foreign materials."

The goal is to build an electronic infrastructure that can restore the range of significant foreign publications to the national collection of books, serials, and other forms of scholarly information adequate for the support of research, teaching and scholarship.

IMPLEMENTATION STRATEGY

In order to build toward the long-term goal of a distributed North American collection, the initial strategy will be to begin the program in two or three demonstration projects. The initially targeted areas will include Latin America, Germany, and perhaps Japan. These areas illustrate different levels of infrastructure readiness in terms of network capabilities and availability of electronic texts.

ORGANIZING PRINCIPLES

The "organizing principles" or prerequisites for a successful plan are to:

1. build a broad-based commitment to maintain foreign acquisitions adequate to meet national needs;

2. implement the plan through a series of smaller-scale demonstration projects in an evolutionary process within the framework of the overall program;

3. improve access to and delivery of information, with emphasis on building the electronic infrastructure;

4. utilize existing programs, organizations and consortia that support the plan's goals;

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5. recognize and utilize where possible inherent strengths developed through existing programs, such as the National Resource Centers and their libraries or other foundation-supported programs.

6. build an area-based acquisition model that incorporates the needs of diverse users;

7. work toward the establishment of ongoing support from the federal government;

8. recognize the present and potential roles played by the Library of Congress, National Library of Medicine, National Agricultural Library, National Library of Canada, and other "national" institutions;

9. strengthen collaborative programs with foreign libraries, archives, and information services;

10. incorporate mechanisms for collective consultation, program evaluation, and the periodic revision of acquisition strategies.

PROGRAM COMPONENTS

The underlying assumption, shared by librarians and scholars, is that no single research library can collect widely or deeply enough to satisfy its own immediate constituency. As the portion of the available research publications held by any individual institution declines, there is increased interest in and commitment to a U.S. and Canadian system of distributed responsibility for collecting foreign imprint publications. Libraries participating in such a program would provide national-scale information services with online access to foreign research materials and delivery either in paper or preferably in electronic form. A network of coordinated collection building will require consensus and contractual agreements among research libraries and their constituent scholarly communities. Included on the network will be the members of the Association of Research Libraries, the Canadian Association of Research Libraries, the Independent Research Libraries Association, the Center for Research Libraries, various industrial/commercial library or information service groups, the community of scholarly and scientific societies in U.S. and, in some cases, foreign national libraries.

While the specific components of the plan's governance structure will continue to evolve, the plan recognizes that there will be a need for a continuing AAU/ARL role to advance the overall program and facilitate fundraising efforts. The issue of funding the plan is still under consideration. One key strategy will be reallocation of resources. It is also anticipated that the establishment of the plan will be a magnet for funding from a variety of other sources.

September 28, 1993

AAU TASK FORCE ON A NATIONAL STRATEGY FOR MANAGING SCIENTIFIC AND TECHNOLOGICAL INFORMATION

Interim Report January through August 1993

CHARGE

The AAU STI Task Force was charged with examining new options for the management of scientific and technical information. The full Task Force met in January, May, July and August 1993; a small working group met in March. The next Task Force meeting is scheduled for October 1993.

VISION

The Task Force shares a common vision of providing desktop access to multiple forms of information, regardless of the physical location of that information. It acknowledges the potential of electronic networks and networked information to transform scientific communication and publication, as well as to require new forms of institutional scientific and technical information resources management. The Task Force believes that the magnitude of change in information technology will dictate changes in roles for both scientists and information management professionals. Institutions need to prepare for the challenge of this new information environment. At its first meeting, the Task Force identified two key questions: (1) What is the timeframe for transition from the status quo to this new vision by users from various disciplines?, and (2) What will be the impact of this transition on users and on the costs of acquiring, storing and providing information to the scholarly community?

METHODOLOGY/ANALYTICAL FRAMEWORK

To evaluate different options for managing STI, the Task Force identified the functions which make up the system of scientific/scholarly communication, the major participants in that system, and the performance attributes by which to assess how well the functions are performed. The Task Force used these components of the system as an analytical framework to formulate and evaluate several models of information creation, dissemination, and use. The framework identifies all of the functions of the system of scientific and scholarly communication (i.e., authoring, informal peer communication, editorial and validation, acquisition and access, location and delivery, preservation and archiving, etc.) as well as the performance attributes by which such systems are measured (i.e. timeliness, authenticity,cost, etc.) (Report 2-a) The term models, when used by the Task Force in regard to information resource management (IRM), is used not in a predictive or prescriptive context; rather the models under consideration are designed as descriptive representations of various ways scholarly and scientific communication operate now and could operate in the future.

STI MANAGEMENT MODELS

Three models of STI management were developed by the Task Force: Classical (print on paper), Modernized (defined as a mix of paper and electronic inputs and outputs and ways of increasing access to university-generated works) and Emergent (in which scientific collaboration takes place entirely on the network). (Report 2-b)

PRELIMINARY FINDINGS

1. Major changes in institutional scientific and technical information resources management policies and practices are needed if the promised gains of networks and networked information are to be realized. Network and information technology capabilities require us to rethink the "university of the future" and not just the "library of the future."

2. A powerful and ubiquitous campus infrastructure to support innovative use of networked information is essential to the effective management of STI.

3. The Task Force believes that the single most important impediment to realizing cost savings from the new electronic models of scholarly communication is the monopoly-like nature of STI journal publishing. Academic literature and other empirical studies show that scientific and technical journal pricing is not cost-based. Scholars want to publish in the most prestigious journals; therefore, libraries are required to acquire those journals. There is no market substitute, so publishers can charge market-based rather than cost-based prices. The result is that higher education institutions buy back at a premium price the information created by scholars at those institutions. The Task Force has drawn several tentative conclusions concerning the prospects for cost-based publishing alternatives to current publishing arrangements in the emerging electronic environment:

- In the Modernized and Emergent models of STI, there need only be one copy of an "article" on the network. The value-added functions of the publisher's role in this process are quality control and editing. These reduced functions of publishing should translate into reduced costs in the Modernized and Emergent models.

- Universities should develop institutional strategies that (a) encourage scholars to make their work available on networks by including electronic communication and publication in the system of institutional rewards and recognition, and (b) encourage institutional information managers to utilize campus library and information technology and budgets to take advantage of networks and networked information.

- An examination is needed of the appropriate institutional interest in copyrights held by university-based scholars. Currently, universities do not demonstrate the interest in intellectual property that many universities have in the management of patents (Report 2-c).

4. No single model of STI management encompasses all functions of scientific communication, and no single model will dominate in the near future. Each institution must make a choice about the optimum mix of management options for its particular circumstances.

NEXT STEPS

1. Substantiation of the preliminary findings.

2. Continued discussion with the Intellectual Property Task Force of intellectual property issues, based on Brian Kahin's paper, Scholarly Communication in the Network Environment.

Proposed Principles for Research Communications (attached to Intellectual Property Task Force Report.)

3. Formulation of implementation strategies at the national, inter-institutional, and institutional levels for moving to new information management systems, including identifying the possible elements of "a total campus strategy" for STI management.

4. Preparation of statements that describe and evaluate national-scale projects such as TULIP, Red Sage, CORE, and DARPA CS.

5. Further study of the costs of networked information, and a cost comparison with traditional interlibrary loan and document (article) delivery.

September 28, 1993

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DISCUSSION DOCUMENT

AAU STI TASK FORCE
ANALYTICAL FRAMEWORK
FUNCTIONS

INFORMATION GENERATION AND CREATION
Includes data collection and analysis/synthesis.

AUTHORING
Writing, revising, and improving.

INFORMAL PEER COMMUNICATION
Access by peers, distribution of preprints, etc.

EDITORIAL AND VALIDATION
Editing processes, peer review (quality control), market assessment by publishers and editors (identification of unmet needs, what else exists, what needs to be published).

OWNERSHIP, PRIVACY, AND SECURITY
Copyright issues, policy issues; i.e., confidentiality, guaranteeing the authenticity and authority of text.

DISTRIBUTION
Making copies after the first copy available on a wholesale basis.

ACQUISITION AND ACCESS
Includes personal and institutional purchase; includes access and ownership.
Includes the decision to acquire, or decision not to purchase and to rely on access.

STORAGE
Holding and making available (the "place" dimension).

PRESERVATION AND ARCHIVING
Includes decision to archive and preservation (conservation) functions (the "time" dimension).
Includes assuring the security of he item in storage (e.g., in warehouse or archived on network).

INFORMATION MANAGEMENT
The processes of identifying, describing, and structuring the item in order to facilitate "discovery." Includes the processes such as bibliographic control.

LOCATION AND DELIVERY
Identification of sources of information and obtaining the information. Includes reference and training.

RECOGNITION
Institutional rewards and recognition.

DIFFUSION
Access to those outside author's primary community.

UTILIZATION OF INFORMATION
By user.

rev. 7/10/93

PERFORMANCE ATTRIBUTES

EASE OF USE
- How easily and effectively does the system make information accessible to known users and potential users?

TIMELINESS
- How long does it take for the information to become available?

RESPONSIVENESS
- How quickly can needed information be identified and accessed?

ACCURACY
- How error-free is the information at each stage in its life cycle (through mechanical or system transmission)?

AUTHENTICITY
- How much does the information get distorted or changed as it moves through the system (through human or intellectual processes)?

PREDICTABILITY
- How reliable and consistent is the system in maintaining levels of quality and availability?

ADAPTABILITY
- How flexible is the system in providing new approaches to information or providing access for unanticipated users?

RELEVANCE
- How well does the system provide mechanisms such as filtering and assessment of information?

ELIGIBILITY
- Who has access to information in the system?

COST
- What are the system and unit costs, and to whom?

RECOVERY
- How well is the system able to avert or recover from error (caused by mismanagement or lack of resources to make the system work)?

INNOVATION
- How well does the system perform research and development to provide system innovation?

EXTENSABILITY
- How well does the system integrate between media? Between discipliness?
  What is the system's ability to build and extend itself without a total restructuring?

rev. 6/8/93

SYSTEM PARTICIPANTS

NOTE: THESE CATEGORIES ARE NOT MUTUALLY EXCLUSIVE; THEY ARE A MIX OF INDIVIDUAL AND INSTITUTIONAL PLAYERS WITH SIGNIFICANT OVERLAP.

Creators

Copyright Owners

Scientific Societies

A & I Services

Publishers

Vendors, Jobbers, and Other Wholesalers

Universities

University Libraries

University Computing Centers

Government Agencies (Federal and State)

Industry

Non-profit Organizations

Users (Scientists, Engineers, Other Professionals, Policy Experts, etc.)

rev. 7/10/93

Scientific and Technological Information: Three Communication Models

Classical Model: The print-on-paper system of STI is exemplified by the scholarly journal. The print journal remains, for most fields, a primary model of scientific and technological communication. There are estimated to be over 20,000 scientific and technical journals worldwide.

Modernized Model: The modernized model is to a great extent the contemporary model, in that most of its functions are available today. In the modernized model, which can also be called the "document delivery," "on-demand" or "just in time" model, information is still largely published and resides primarily in paper form, but these is an array of expanding options for retrieval and delivery. At the same time, the modernized model can also accommodate emerging electronic journals that are authored, published, and stored in electronic form.

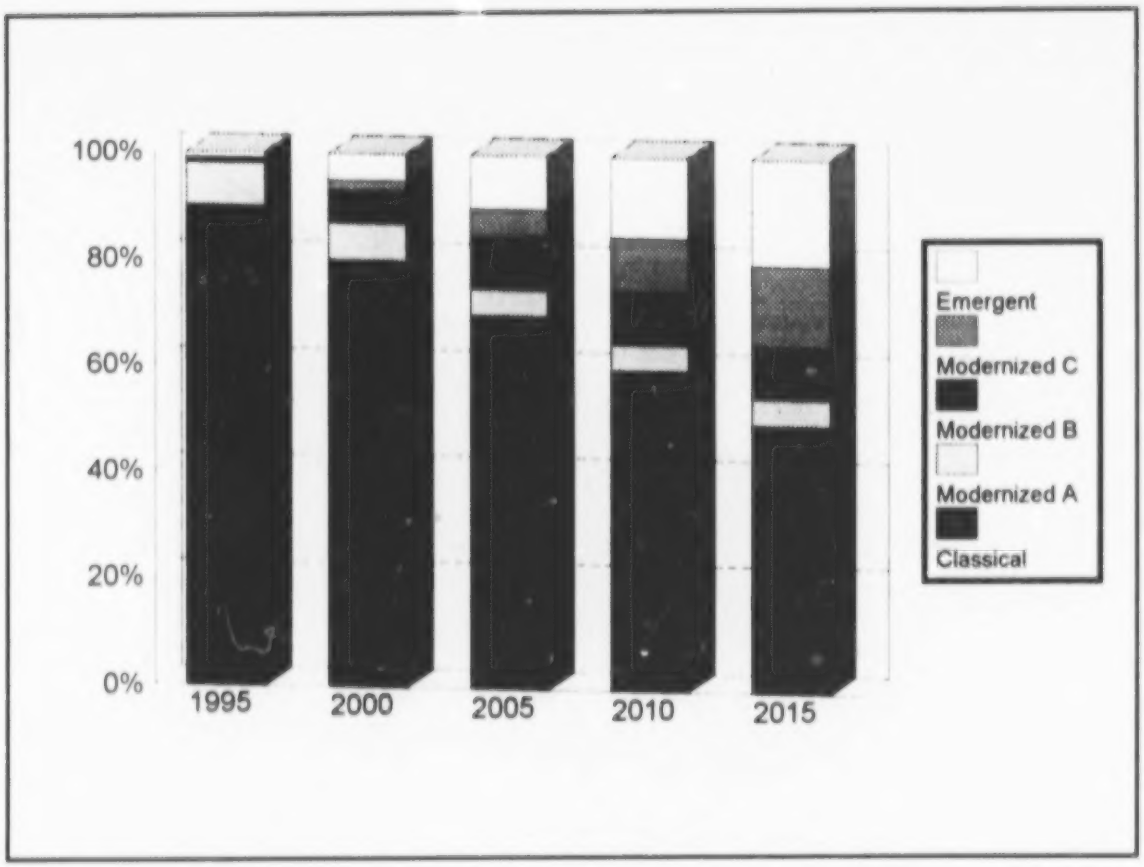
Emergent Model: This model accounts for the use of computing and communications technologies to share instrumentation, primary data, and software tools as well as to share information per se. It also accounts for the use of these technologies for genuinely innovative purposes, such as for interactive, multimedia information environments, rather than for the modernization of page-formatted information from paper to network storage and access media. It views each scientific community as a knowledge management system, and it calls upon scientists, information technologists, and librarians to act as partners in all components and activities of that system. Information environments generated by this model are referred to as "collaboratories." Early examples of such environments can be found in the human genome and global climate change communities.

September 30, 1993

Key Characteristics of STI IRM Models

INFORMATION MODEL	UNITS OF ACCESS	BASIC FORMAT FLOW
Classical	Journals	Paper inputs -> Paper access -> Paper outputs
Modernized A	Articles, as well as journals	Paper inputs -> Paper and network access -> Paper outputs
Modernized B	Articles, as well as journals	Paper inputs -> Paper and network access -> Paper and network outputs
Modernized C	Articles, as well as journals	Paper and network inputs -> Paper and network access -> Paper and network outputs
Emergent	Facts, as well as articles and journals	Network inputs -> Network access -> Paper and network outputs

ILLUSTRATIVE INSTITUTIONAL USE
OF STI IRM MODELS BY YEAR



AAU STI Task Force

The Importance of University Policy re Intellectual Property to the Management of Scientific and Technical Information

The AAU Task Force on a National Strategy for Managing Scientific and Technological Information has concluded that a key issue of managing STI is the ownership of the intellectual property created on campus, or more precisely, the management of that ownership. To maintain and expand access to STI research resources while containing university costs, the task force recommends the development of a university policy and mechanism to retain in the non-profit sector some or all of the ownership rights of the intellectual property that is created by university faculty and staff. The strengthening of the non-profit "stake" in the publication of scientific articles would position the university community to create alternatives to the current imperfect marketplace that is dominated by commercial publishers.

In the history of scientific communications, the functions performed by publishers (editorial, validation, and distribution) have increasingly migrated into the hands of relatively few, very large, commercial presses. In 1989, ARL release a report a documenting this trend and its impact on pricing and on the ability of research libraries to build collections of journals and other serials. The report recommends the introduction of "greater competition to the commercial publishers." (*Report of the ARL Serials Prices Project, ARL*, May 1989.) The AAU STI Task Force concurs with this recommendation.

Barshall estimates that 36% of all scientific papers published in journals are written by U.S. authors (30% for physics journals). We have located no precise data to indicate what portion of those U.S. authors are university-based, but informed estimates suggest that about two thirds of U.S. scientific authors are based in academe.

A strategy that promotes non-profit ownership and cost-based electronic distribution of scientific articles authored by the faculty of North American universities would enhance access to these writing in all non-profit settings. For this strategy to contain costs in a significant way, it must be developed as a viable substitute, not supplement, to publication in printed, commercial journals. This will require that university reward and recognition systems embrace electronic media as a legiti¬ate outlet for publication of research results, and that institutions develop strategies to assure preservation and archiving of electronic media.

7/93

AAU INTELLECTUAL PROPERTY TASK FORCE

Summary of Work from January 1993 through August 1993

CHARGE

The AAU IP Task Force was created to:

- Develop proposals for university policies governing intellectual property ownership and rights, particularly in the movement into an electronic networked environment;

- Examine from a university perspective the emerging possibilities for creation and dissemination of electronically based information;

- Develop proposals by which universities provide their faculty and students with new options for collecting and disseminating research and scholarship.

Such options should expand access to university-generated information and reduce costs.

PROCESS

The group divided into four working teams, to tackle four components of the questions related to its charge:

1. Problem Statement: How is the intellectual property of universities that is governed by copyright law being managed today, which features are working well, which deserve attention, and what features are not at all well covered or managed?

2. What will scholarly communications look like over this decade, the near-term time frame within which the IP Task Force is working?

3. What are the policy bases for the ways universities should manage intellectual property governed by copyright law?

4. What are the options for university copyright policy and management?

The four working groups have summarized their deliberations to date as follows:

Group I

Universities and their personnel play multiple roles in relation to intellectual property as governed by copyright law, as creators, users, maintainers, and distributors. U.S. education has a special place in the copyright law—through provisions for fair use, libraries, archives, classroom use, certain performances and displays. Some serious constraints exist (securing permissions, cost of permissions, electronic availability restrictions, for example). Universities and faculty generally believe their copyrights have little economic value. Universities generally forego any claim on faculty copyrights, and faculty transfer their copy to publishers. In consequence, universities may lose affordable access to the materials produced in their service. Additionally, a general lack of understanding and knowledge of current law, how it

works, and support in dealing with it and with publishers, characterize the campus environment. Attorneys on campus appear to be very conservative in interpretations of the liberalizing provisions of the law for education, leading to an environment that is possibly more constrained than it needs to be. Publishers are far more aggressive in asserting their rights than universities or their faculty are.

In order for the academy to maintain affordable access to scholarly information, aggressive steps need to be taken to assure that the law and its interpretation meet the needs of the higher education community.

Group II

This group described the surrounding environment for scholarly and research publications anticipated for the remainder of the decade, to set a context for the IP discussions.

The group postulated that electronic and electronically networked publications will soon begin to proliferate, and an already highly diverse information environment will vastly expand its array of offerings. New materials as well as traditionally produced materials will begin increasingly to appear in electronic format, but many of them will continue to offer print versions. This will cause a proliferation of the same kind of information in multiple-choice formats; in the short term, as publishers make a transition from paper to electronic format, the redundant representation of information in both formats may cause costs to rise rather than drop.

Since it will be easier for an author to be a publisher via ubiquitous electronic technologies, the group expressed considerable divergence of opinion about the role of publishers. Some on the group argued that publishers will have little or no value-added to bring to the process; others argued that the value will be of a different kind (finding, navigating, and other values not yet identified); still others see a relationship between authors, publishers, and libraries, that will be virtually unchanged.

The role of licenses was seen to continue to increase, but without certainty that licenses would be more affordable than those for current print publications, particularly journals. Currently, when the same publications are available both in print and electronically, the new electronic version tends to be more expensive even though actual production costs are lower. Again there was a divergence of views, as some saw licenses as compatible with Fair Use; others believed that licenses, in the long run, are not very compatible with Fair Use, and that we will in time define a Fair Use type of mechanism for electronic publications, but it will look very different.

It is not surprising, given that the future is uncertain, particularly in rapidly changing times, that the group had different perceptions of that future, and of the role that copyright would play. There was, however, consensus that being an owner or landlord is a better strategy for universities and their authors than being a tenant.

Group III

Group III undertook to identify the underlying policy bases for the ways universities should manage their intellectual property as governed by copyright law. Changes in the management of copyrights should:

1. Enhance the ability of universities to advance their teaching; research, and service missions. AAU institutions are, by virtue of their fundamental missions, particularly concerned with the

promotion of the progress of science and useful arts, on which copyright law in the United States is founded.

2. Enhance the excellence of research and teaching. Changes in institutional management of copyrights should facilitate and enhance peer review and other activities by which the academic community governs the recognition of intellectual excellence.

3. Preserve the royalty income of faculty authors. The economic interest of universities in copyrights lies not in royalty income, but in the issues in Section D of the Fair Use provisions of copyright law.

4. Help universities to operate cost effectively and to contain increases in operating costs and the high capital investment needed for teaching and learning.

Group IV

This group was charged with developing options for managing copyright. This group identified six different options for consideration by the IP Task Force. They include:

Enlightened Status Quo: No significant change in the way that copyright is owned but substantial education about the implications of copyright; the law; the consequence of transfers and assignments; campus support in dealing with these matters.

Faculty Ownership: As the author under the copyright law, the faculty member retains all rights in the work, licensing certain uses within the university and higher education community and assigning or licensing to the publisher the right to reproduce and distribute the work.

Joint Faculty/University Ownership: Rights in copyrighted works are shared jointly by the faculty member and the institution. Joint ownership would extend only to works produced within the scope of the faculty member's employment. In exchange for shared ownership, the university would provide services relating to the copyright.

University Ownership: University ownership means the university, as copyright holder, makes all decisions relative to publication, licensing, royalty agreements, etc. A faculty member assigns rights to the university for works produced within the scope of the faculty member's employment.

Ownership by a Consortial Body: Rights are transferred to a consortial body such as the AAU, which would act as a collective rights society to manage copyrighted works to the advantage of universities and their faculties.

Joint Faculty/Consortial Body Ownership: Copyrighted works produced within the scope of the faculty member's employment are jointly owned by the faculty member and the consortial body. The faculty member retains specified rights but the consortium acts as a collective rights society.

RECOMMENDATIONS

General Properties of Final Recommendations

- In order to be maximally effective, the IP recommendations will need to be adopted by a number of AAU institutions, or all of them

- They will have to make sense to faculty; more sense than current situation or policy

- Any recommendations for change in contractual relationships between faculty and university will take time to implement and therefore, should also provide a short- to mid-term implementation plan to ease the transition

- The recommendations and report will propose time lines for implementation

- They will offer suggestions for implementation, and ways to gauge success.

- Longer-term, cost-effective deployment of information should be projected.

Preliminary Proposals for Task Force Recommendations

1. Inform and engage campus faculty in dialogues and policies related to ownership and copyright. Educate members of campus about the effects of the copyright and publishing contracts they sign, for future deployment of campus information. No policy will be successful without faculty support.

2. Take full advantage of Fair Use rights that are applicable to published information. (Often satisfaction or dissatisfaction with campus information is directly related to how proactively universities interpret Fair Use provisions.)

3. Seek to recover ultimate control of information created by university faculty, students, etc. rather than "buy-back" of work of their own creators.
4. Identify two to three of the copyright/management models that the Task Force believes are the most promising for universities to pursue.

There was a strong interest in a co-ownership model along the lines suggested by Brian Kahin's paper, Scholarly Communication in the Networked Environment: Proposed Principles for Research Communications (Report 3-a).

Some in the group advocated an "enlightened status quo" model, at least in the interim. The concern was that having all works available from the university as network publisher might cause the departure of not-for-profit publishers from the publishing scene—precisely those publishers we seek to encourage.

Adoption of a shared model (between university and author) suggests a stormy transition period, during which

- faculty employment contracts would need to be amended;

- faculty may lose current publishing outlets as universities start to take up the slack;

- affordable publishers who are operating on small financial margins go out of business, while larger publishers persist.

5. Develop overarching Campus Information Policies based on university missions; these policies should identify the campus stakeholders, their relationship to each other, and the roles they play in the management of scholarly information.

6. Develop an enhanced role for university presses. Consider a role as campus advisor on copyright, publishing, and contractual questions. Provide startup funds for university presses to launch electronic journals, particularly in the STI arena. (Breaking into the science journals area in established fields is very hard; but there are opportunities in: older areas by means of new technological enhancements to publications—where universities might have an edge—or newly emerging disciplines or subdisciplines.

7. Develop more productive relationships with academic not-for-profit publishers, particularly the learned and professional societies. Develop some joint publishing projects and help fund them (for example, the University of Chicago Press publishes the major journal of the American Astronomical Society, Astrophysical Journal.)

8. Seek to develop/exploit new technologies to enhance scholarly publications; preprints may be a particularly promising, as they bring the work to interested audiences quickly.

9. Work with the computer specialists on campus to develop electronic archives for scholarly information and communications produced by the institution's faculty. The library community has the theoretical and organizational skills to contribute to this venture, which is important to begin now.

10. Provide faculty incentives by rewarding faculty not only for teaching and research, but for helping manage the information flow: e.g., editorial work, risk-taking in the form of electronic publishing.

11. Developing practices and policies to address issues relative to the electronic environment, not adequately covered by current copyright law.

NEXT STEPS

1. Detail the pros and cons of each model.

2. Estimate the economic implications of adoption of the models.

3. Seek consensus on a subset of recommendations recommendations more fully and expand on the favored ones.

September 20, 1993

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Scholarly Communication in the Network Environment
Proposed Principles for Research Communications

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Introduction

The following principles have been drafted as part of a project, "Scholarly Communication in the Network Environment: Principle, Policy, and Practice," funded by the National Science Foundation Program on Ethics and Values Studies in Science and Technology (No. DIR-9112998; Lewis M. Branscomb, Principal Investigator). They are the outgrowth of discussions elicited by a draft background paper in February 1992, "Scholarly Communication in the Network Environment: Issues of Principle, Policy, and Practice." The paper was widely circulated in electronic form, distributed in hard copy by the Coalition for Networked Information (CNI), and published in *The Electronic Library*, Vol. 10, No. 5, October 1992. It remains available by anonymous FTP as /CNI/projects/Harvard.scp/kahin.txt from ftp.cni.org. Listserv discussion groups were set up by CNI during the summer of 1992 to air the issues raised in the background paper.

The principles have been drafted in the light of responses to the background paper, discussion over the network including discussion on the CNI lists, and discussions with authors, librarians, and publishers in the research community. While many of these discussions have involved practices of commercial publishers, the intent was to speak to the values and experience of the research community itself. The principles are offered as a platform for further discussion and as an aid in developing policy for particular research communities. They should be reviewed in conjunction with the background paper, where the underlying issues are discussed in greater detail.

Background

Universities and their constituent faculty, researchers, students, libraries, computing centers, licensing offices, and presses, as well as academic societies, funding agencies and related communities of interest, share a common concern for effective and equitable management of knowledge. A significant part of this is the communication of research information, including papers, reports, and reference data. With the widespread deployment of networks and computers, universities are confronted with fundamental changes in the economics of information management and an unprecedented opportunity to rethink the role played by the university and other academic organizations.

Despite its interest in the efficient and ethical management of research information, the academic community has been slow to develop a life-cycle vision of how university-generated information should be managed. The development and implementation of a common vision is hobbled by turf issues between service functions, lack of intellectual community between service functions and the faculty, and the conservative and intellectually decentralized nature of major research universities.

However, universities now find that they must devote continually increasing resources to buy back research information which they have generated. Journal titles have proliferated while prices have outpaced the consumer price index, forcing many academic libraries to curtail subscriptions. Many libraries are asking faculty to join in the painful process of establishing collection priorities that reflect a realistic calculus of cost and use. This forced communication

with faculty, reactive as it is, offers an opportunity for involving the whole university community in the principled management of research information. Some universities have responded to the proliferation of serials by making changes in tenure review, focusing on the quality of a few publications and de-emphasizing or ignoring quantity of publications.

At the same time, increasing capabilities and decreasing costs in the digital environment have led to new forms of collaborative research and new kinds of publication such as computer conferences, moderated lists, digests, and electronic journals, most of which are projects of research programs or individual researchers. Software and databases are also increasingly important to researchers in both the conduct and dissemination of research, and these often become unique standard resources for a particular field. While some costs might be less than for print equivalents, major electronic publishing activities, whether journals, archives, major bulletin boards, software, or databases require a commitment of resources that ordinarily must be borne in significant part by users. Unless cost recovery is possible, such publications will fail or will not be undertaken in the first place.

Against this background, the Scholarly Communication Project focused on problems in six major areas. The first three covered points of stress in the management of rights in individual works for which academic authors do not normally receive financial reward:

1. Ownership of research reporting and journal articles, especially problems attendant to large distributed research projects.

2. Presumptions and policies for reposting material in different kinds of computer conferences.

3. Control of derivative works, especially for evolving or interdisciplinary works.

The second three areas concerned problems of accounting for electronic publishing as a self-sustaining activity:

4. Control of unique scholarly resources such as a databases.

5. Appropriate practices for site licensing.

6. Appropriate practices for international distribution, especially in less developed countries.

Proposed Principles

The proposed principles begin with a treatment of ownership that does not merely address the problem of discerning ownership among multiple authors in multiple institutions, i.e., within the distant collaborations that the network makes possible. They also address the tension between universities and publishers over the cost of journals and journal articles by discouraging assignment of copyright and encouraging nonexclusive licensing:

[ownership]

1A: Co-authors of research papers are presumed to be co-owners under principles of copyright law.

1B: As a matter of university policy, research papers should be deemed jointly owned by the actual author(s) and the institutions where she was employed or under contract at the time of authorship, regardless of the author's status.

1C: Ownership interests should be identifiable from the attributions of the authorship. Any deviations from customary ownership interests should specified in the footnotes to the authors' names.

By law, any joint owner is allowed to authorize publication or create derivative works on a non-exclusive basis, whereas assignments of copyright are possible only with the written consent of all joint owners. Joint owners are responsible to each other in accounting for revenues or profits, but the research reporting and scholarly articles do not ordinarily result in any monetary compensation. Under current university policies, the writings of faculty authors are not treated as work-for-hire under the copyright law; the copyright remains with the author even though the author is an employee paid to do research and write up the results. On the other hand, the writings of hired research assistants are usually treated as work-for-hire, so that the employing institution holds the entire copyright interest in their contributed share of a joint work. Thus, many research papers are already jointly owned, with both institutions and individuals empowered to license the work for publication.

The proposed principles would have institutions treat all the authors the same. Faculty authors would hold copyright jointly with their institutions, and other employee authors would also hold copyright jointly with their employer institutions. All such joint owners could be readily determined from the listed authors along with their institutional affiliation. Exceptions, such as a change of institutional affiliation since the article was written, should be clearly noted at the very beginning of the article in a consistent location. (A listing under each author's name or a footnote to the name should be used to identify her institution and address.)

Joint ownership reflects the cooperative nature of the research process and allows for maximum dissemination at the lowest cost. Under this arrangement it could be universally assumed that, as a matter of copyright law, any co-author or her institution has the power to authorize a nonexclusive license, whether for publication or to create a derivative work. In practice, the joint owners can and should agree among themselves how publication should be handled. But publishers (whether universities, societies, or commercial publishers) could rely on the representations of any joint owner without fear of copyright infringement. This is especially important inasmuch as pending legislation (H.R. 897 and S. 393, "Copyright Reform Act of 1993") may eliminate the registration requirement for filing suit, attorney's fees, and statutory damages, which could increase the likelihood of copyright actions in situations where little money is at stake.

Instead of relying on copyright, the higher education and research community should design an intellectual property regime appropriate to the needs of scientific and scholarly research based on common policies and shared understanding on how publication should proceed in particular cases. This arrangement would facilitate a more active institutional role in managing research information and affirm the inherently cooperative nature of research and research communications. In most cases, this would not change present practices, but it would help researchers focus on the processes and equities of their particular projects without being unnecessarily concerned with the specifics of the one-size-fits-all copyright law. Most importantly, if copyright interests remain in the hands of research institutions (see principle 3 below), this will provide reassurance in the case of publisher bankruptcy, incompetence, unresponsiveness, or overreaching.

[reposting]

2A. List owners should give notice of specific rules on reposting or quotation to all new subscribers. Any rules so announced supersede general principles.

2B. Original material contributed to a publicly advertised open list carries an implicit license to repost or quote provided that attribution is retained and the material is not presented out of context. Material contributed to a list which is not both publicly advertised and open without application does not carry a license to repost.

2C. Notices on individual messages of special restrictions or allowances normally override general rules, except that such notices cannot affect the customary archiving, access, and republishing practices for the list as a whole.

Here, as elsewhere, the intent is less to prescribe universal expectations than to propose procedures that clarify the public/private characteristics of group discussions. The principles should encourage conventions that inform participants and can be modified by the list-owner, editor, or individual contributor to fit particular needs and circumstances.

Under 2A., rules for reposting of contributions should be established by the list owner. The confirmation of subscription given to new subscribers is the proper place to set presumptions on reposting as well as other ground rules for conduct and scope of discussion. While contributions to advertised, unrestricted public lists can be reposted without permission if context and attribution remain intact, reposting of contributions is permitted only under groundrules announced in advance by the list owner.

Individual contributions carry an irrevocable license that permits the list owner to include them in any archive that is maintained for the list. Absent indications to the contrary, it should be assumed that archives are maintained for public search and may be published by the list owner. If the list archives are republished as a whole (even if done selectively to chronicle particular discussion threads or themes), the list owner is not obliged to search the archives for restrictive statements and excise the contributions in which they appear. If the contributor wants her remarks to remain ephemeral and not of record, she is obliged to negotiate with the list owner.

[derivative works]

3A. Assignment of copyright in an article is appropriate only when the research results are practically complete, the authors do not contemplate further work on the topic, and the publisher is capable of reaching the potential audience for the work.

3B. Licensing an article for publication carries with it a representation that the co-owners have been informed of the intended publication and, except as specifically acknowledged, agree not to license substantial portions of the work for competitive publication.

3C. Informal publication on a bulletin board should normally be deemed noncompetitive with publication on other bulletin boards.

Researchers should carefully consider requests for assignment of copyright, since assignment can only be effected with the actual consent of all co-owners and precludes any co-owner from creating any derivative work from any portion of the original work. Copyright assignment is most appropriate where the publisher or compiler assumes continuing responsibility for management of a large, dynamic body of information as in the case of a reference work or textbook. In the case of journal articles, copyright assignment may be acceptable where no co- author intends to rework or reuse any portion of the work and where all co-authors are confident that the publisher will disseminate the work to their satisfaction. Even so, there may be circumstances (such as bankruptcy or change of publishing philosophy) where the absolute nature of copyright assignment will prove unfortunate.

While assignment of copyright has been the norm for journal publication, there are indications that more publishers are willing to settle for less if they want the work and if their interests can be protected. Whether or not they hold copyright, publishers have a legitimate interest in knowing that they will not find themselves in unexpected competition with another journal. But such protocols should be determined by custom and contract not by arbitrary assignment of copyright.

What constitutes "competitive" publication depends on timing, format (e.g., electronic versus print, book versus journal), the degree of substantive overlap, the degree of

documentation and style of writing, and the expected audiences for each publication. In mass-market publishing, including textbooks, publishers are likely to have the best knowledge of what constitutes competitive publication. Within specialties, however, researcher/authors may well have a clearer sense of the potential audience for their work.

[control of unique resources]

4A. Academic societies and university-based publishers should not price information resources to subsidize other institutional functions.

4B. Access to unique research resources should be provided to users in other disciplines and republishers on a nondiscriminatory basis.

4C. Controls on redissemination should be used only to the extent necessary to maintain integrity and attribution and sustain the publishing process.

The obligation not to exploit the publication process to support other ends is premised on the externalities that flow from research and research information. It applies especially to universities and academic societies (as distinct from professional societies) because of the nature of their mission. Indeed, their status as "public charities" under tax law carries obliges them to serve the public interest as well the interests of the organization's own constituents.

At a more general level, owners and managers of unique resources characteristically have a degree of monopoly power, which carries with it an additional obligation to facilitate access and reuse. This is analogous to the essential facilities doctrine in antitrust, but the principle applies more broadly here because much highly specialized information is necessarily unique and the base of specialized users is usually too small to support more than one core resource, whether a database or a journal.

Note that costs of publishing may include R & D expenses reasonably related to enhancing the resource or its access and use.

[site-licensing]

5. Academic societies and university-based publishers should pursue site licensing as a way of equitably matching revenue to costs consistent with their obligations to disseminate information.

This principle emphasizes the importance of rationalized cost recovery and supporting communications within the research community between publishers and users. Efforts to formalize publication, such as launching an electronic journal or inaugurating an archive, should be supportable by aggregating user demand. The most efficient way to do this is at an institutional level for a fixed annual fee keyed to the number of expected users at the institution (this could be based on library expenditures within the particular field). Fixed-fee site licensing keeps transaction costs low, facilitates budgeting, and encourages equal access by all users at an institution.

The use of institutional licensing to recover costs acknowledges the importance of libraries and end users -- and the need to involve them in defining the scope and assessing the risks and returns of publishing activities. Normally, significant new publishing activities should not be undertaken without a confirmation of demand from libraries (or other potential subscribers). To the extent a publishing activity cannot be fully pre-sold to its intended market, some user institutions can offer to pay more than their expected share in order to enable publication. Such additional payments can take the form of equity to be reimbursed from post-publication income. This dynamic allocation of risk is probably only practical in a network environment where the bidding and accounting can be facilitated and automated.

This emphasis on cost recovery also enables and encourages libraries to help define the scope of standard site licenses. For example, libraries may want to permit use by unaffiliated users under a higher license tier. This should done on the basis of institutional experience in assessing user fees, the need to comply with laws regarding citizen access to state university resources, and other factors that will be more familiar to libraries than to publishers.

[international]

6. Developing countries should be viewed as an aftermarket in which charitable principles, externalities, and transaction costs are likely to outweigh any need or opportunity for further cost recovery.

This principle is a corollary to 5. in that it defines the outer limits to a cost recovery calculus based on global demand.

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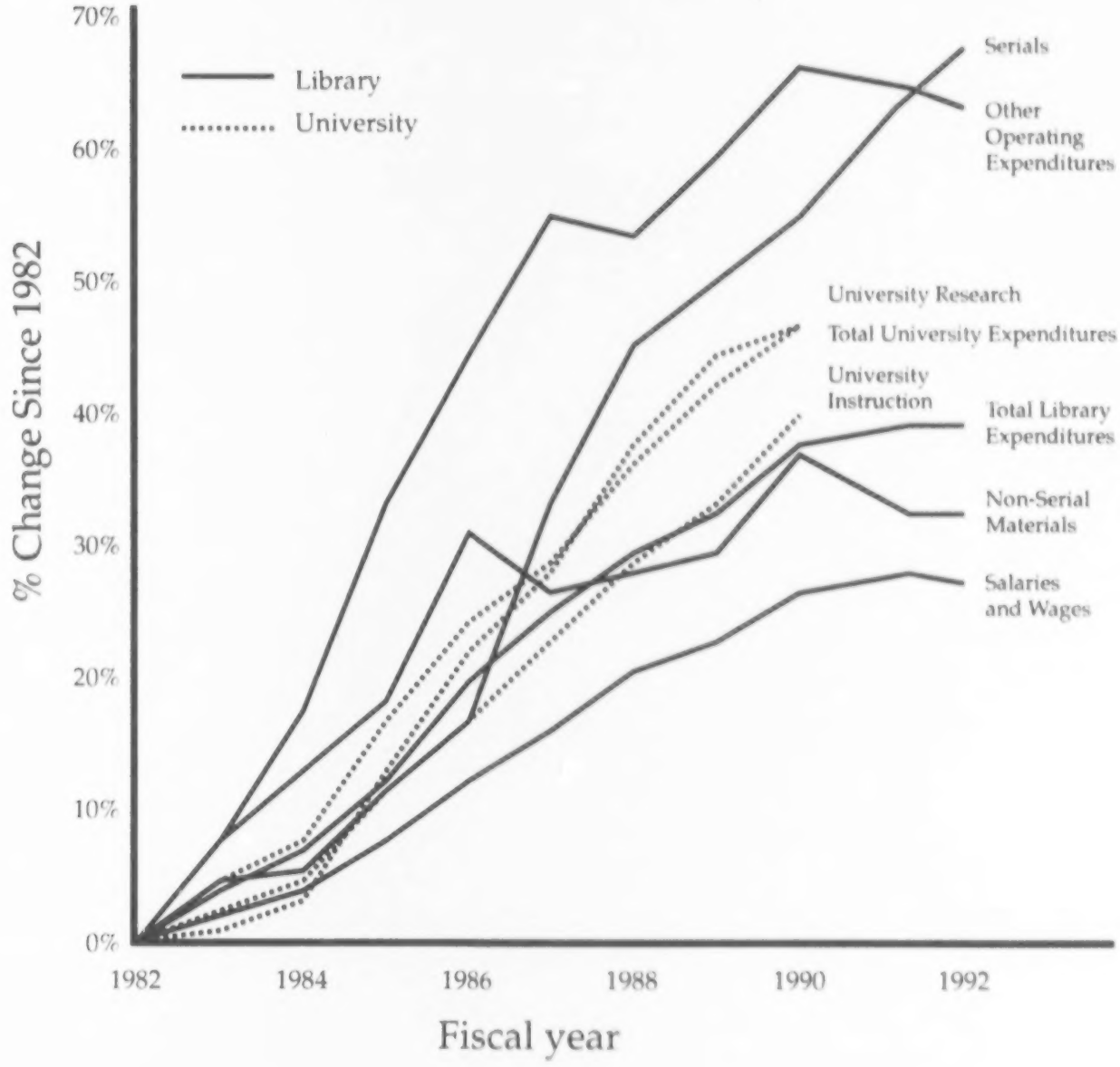
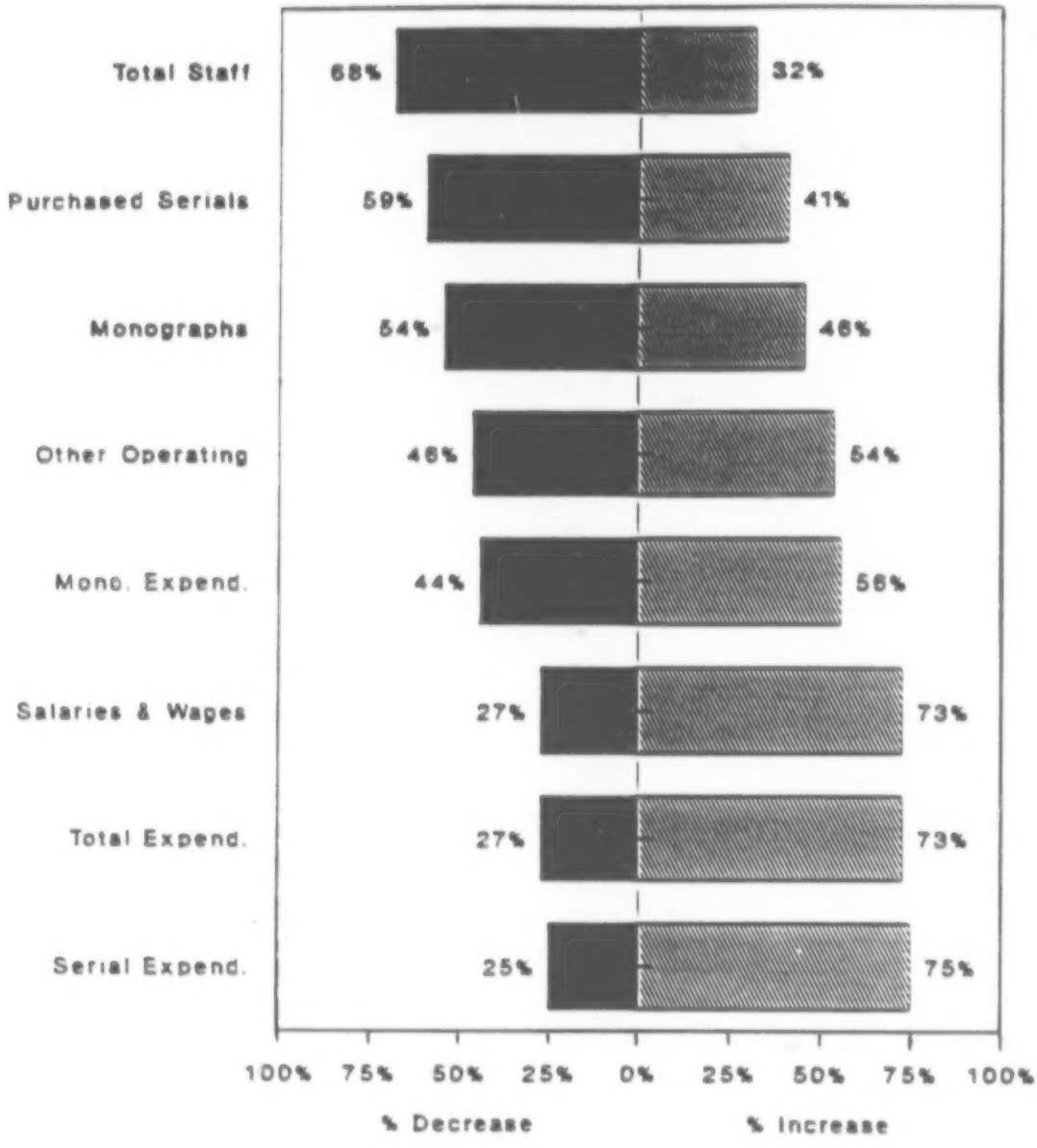
ARL Library and U.S. ARL University Expenditures, 1982-1992, In Constant (1982) Dollars



Source: 1991-92 *ARL Statistics*
Prepared by Kendon Stubbs; copyright © 1993 by the Association of Research Libraries

Percentages of ARL Libraries Showing Decreases and Increases in Various Data Categories, 1991 to 1992



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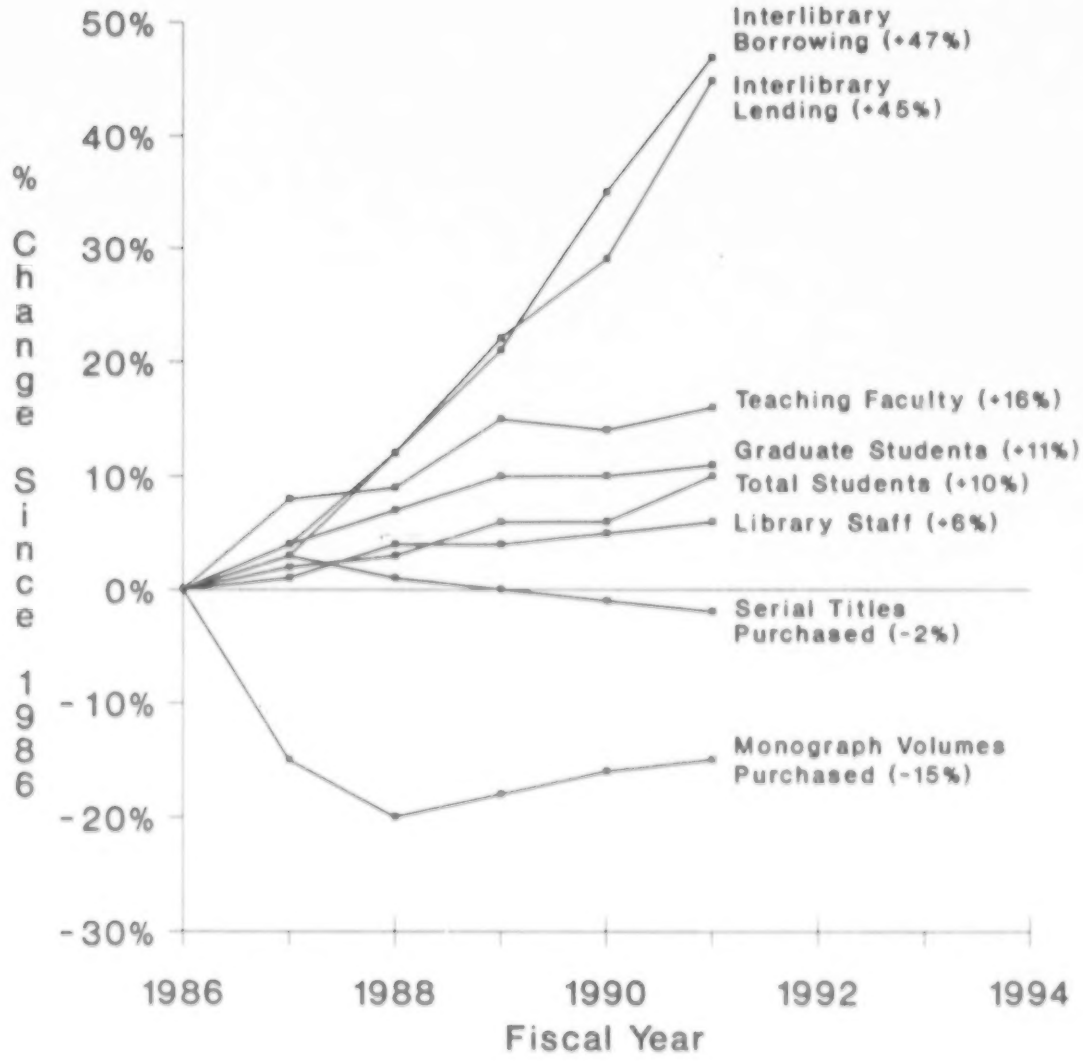
Supply and Demand in ARL Libraries, 1985-86--1990-91



Note: This graph compares growth in numbers of users with changes in on-site resources and resource-sharing.

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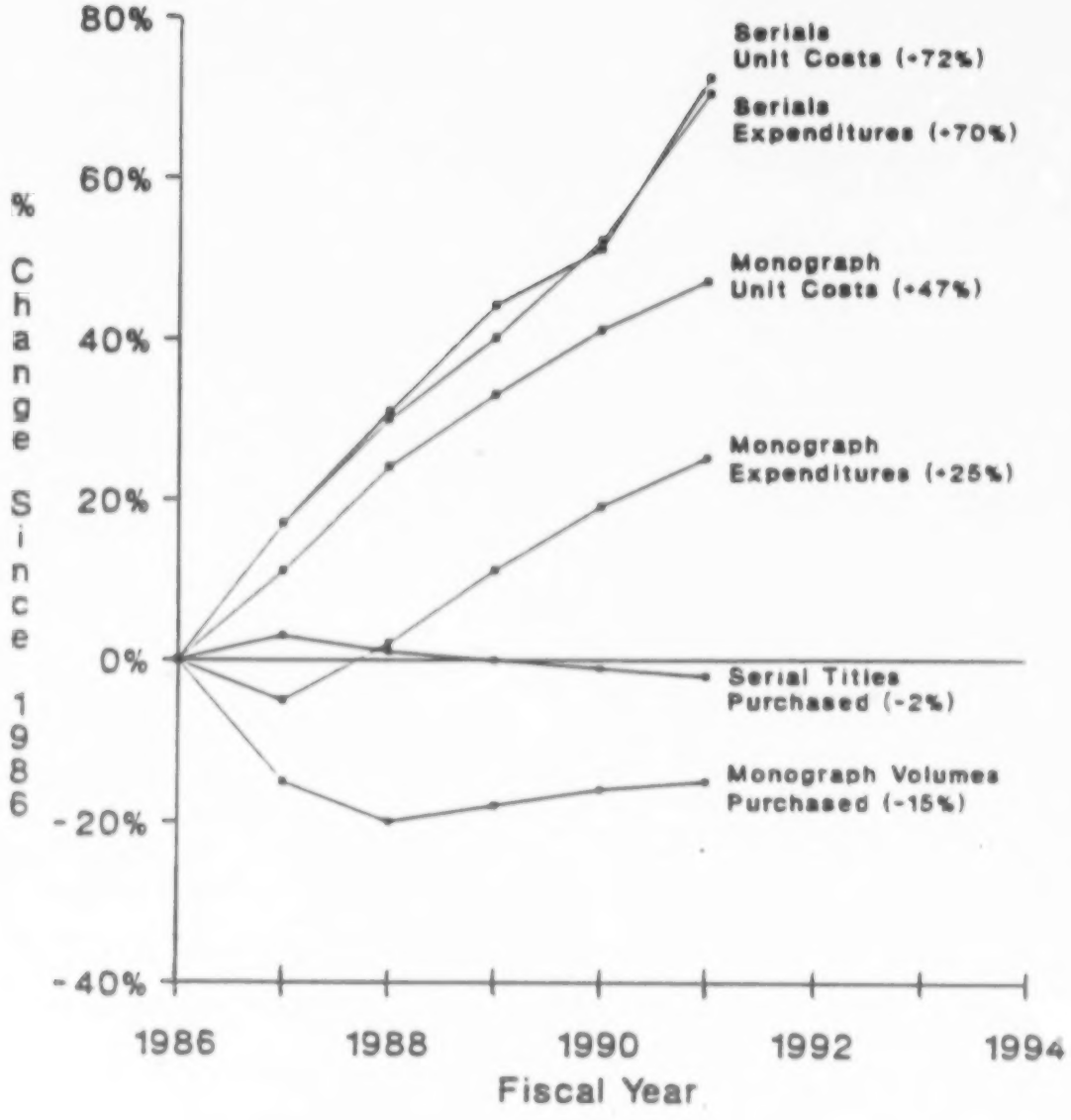
Source: 1990-91 *ARL Statistics* (Washington, D.C., ARL, 1992)

Monograph and Serial Costs in ARL Libraries, 1985-86--1990-91



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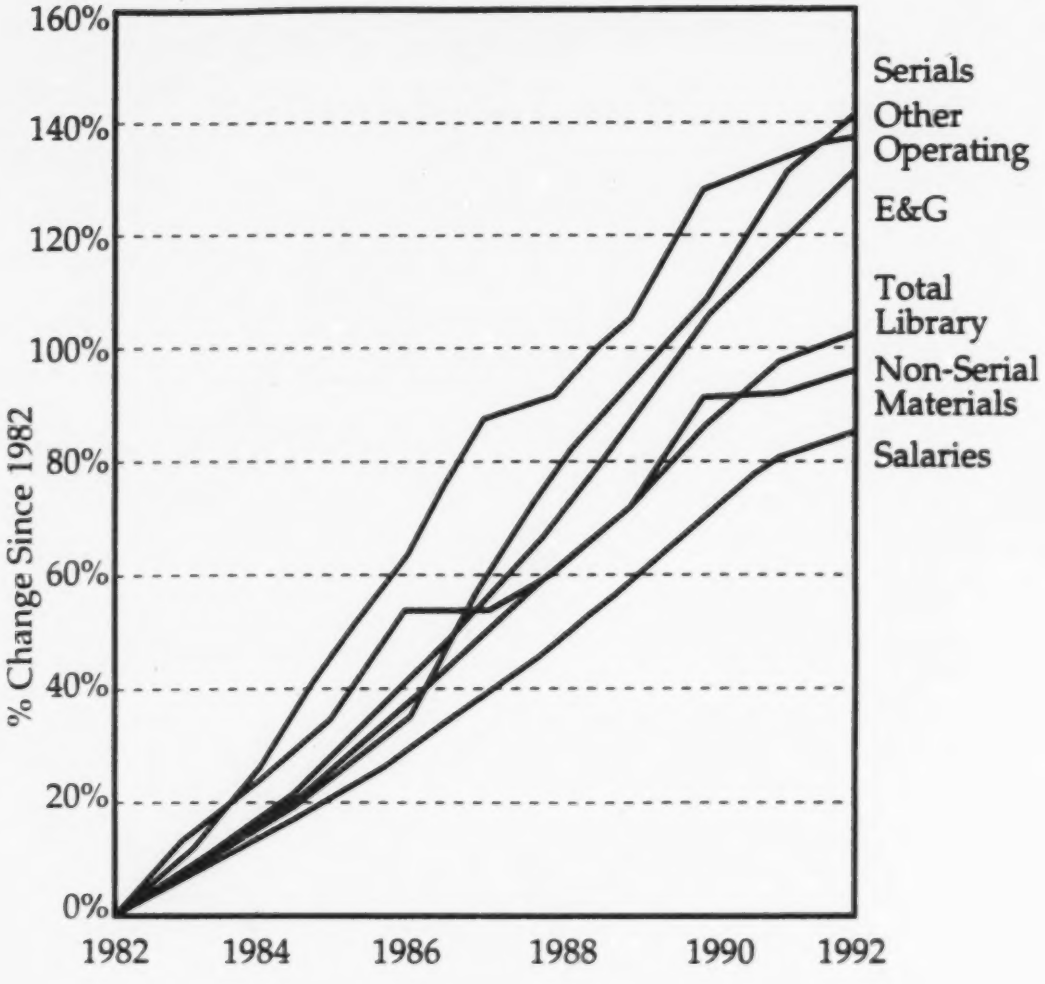
Percent Change in ARL Library and E & G Expenditures, for 88 Libraries, 1982-92



Prepared by Kendon Stubbs for the Association of Research Libraries, 1993

APPENDIX II

REPORT ON ASSOCIATION ACTIVITIES

MAY 1993 – OCTOBER 1993

SUMMARY

Introducing and integrating new technology, building alliances, and strengthening library performance form the core strategies of the Association in its support of academic and research libraries in the emerging electronic environment. The new headquarters facilities have provided more opportunities for ARL to play a central role in the higher education community and to expand its electronic and telecommunication capabilities. Programs, services, and activities continue to demonstrate the critical contribution of ARL to its members.

- New Library/G&E Expenditures Report issued, page 1
- 4,600 copies distributed of the Mellon Report, *University Libraries and Scholarly Communication*, page 3
- Progress on AAU Research Libraries Project, page 3
- New ARL working groups, page 6
- First International Conference on TQM and Academic Libraries announced, page 11
- Expansion of OMS Cultural Diversity Program, page 11
- ARL cosponsors new Telecommunication Policy Roundtable, page 15
- Actions taken on copyright issues, page 15
- North American Interlibrary Loan/Document Delivery Project convenes developers and implementors group meeting, page 19
- NewJour-L online list reports new electronic journals, page 20
- High level of ARL member participation in IFLA, page 23
- The Coalition for Networked Information is extended for three more years, page 30

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ARL CAPABILITIES

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Report prepared by the ARL Executive Director and the ARL program officers, September 1993.

I. Statistics and Measurement Program

The statistics capability is organized around collecting and distributing quantifiable information describing the characteristics of research libraries. This capability includes operation of the ARL Committee on Statistics and Measurement and collaboration with other national and international library statistics programs.

Statistics program development. Initial steps have been taken in implementing the expansion of the Statistics and Measurement Program, reflecting the desire of the membership to redefine and strengthen ARL's capabilities in this area. Recruitment for the position of Senior Program Officer for Statistics and Measurement has continued, with particular efforts to develop a pool of qualified candidates from a variety of backgrounds. It is expected that the position will be filled during Fall 1993.

ARL Statistics. ARL has contracted for a complete redesign of the input and output software used to compile and produce the ARL statistics and preservation statistics. Programs are being written in both FoxPro for DOS users and FoxBase for Macintosh users. Work began in December 1992 on the preservation statistics and on the main statistics in March. Field testing of both systems took place over the summer, and the new software is being used to collect data for both surveys for 1992-93. Packets for the ARL Statistics, including the program diskettes, documentation, and instructions for completing the survey, were sent out to member libraries in early September.

Five new categories of data have been added to the main statistics survey for 1992-93. These categories, which have been collected for several years on the ARL Supplementary Statistics, are holdings data on manuscripts and archives, maps, graphic materials, audio materials, videos and films, and computer files.

Supplementary Statistics. The report on the Supplementary Statistics for 1991-92 was distributed in early September, along with 1992-93 Statistics survey. Also included were the survey and instructions for the 1992-93 Supplementary Statistics. Four new categories of expenditure data are included: computer files and search services; document delivery/ILL; computer hardware and system software; and bibliographic utilities, networks, and consortia.

Library/G&E Expenditures Report. An eleven-year compilation of the Library/G&E Expenditures data was distributed to members in September. Prepared by Kendon Stubbs, the report shows that the typical ARL library's share of university expenditures has declined about .59% over the past eleven years. This decline appears to be linked primarily to expenditures for salaries and wages and monographs, not, as many had suspected, to serials expenditures. The survey for 1992-93 will be sent out in December 1993.

Machine-readable files. Publication of the machine-readable versions of data for ARL law and medical libraries, covering the period 1977/78 through 1991/92, will be published in October 1993.

Salary Survey. The 1993 Salary Survey questionnaires and diskettes were distributed to members in July 1993. By September 16, approximately 80 university and 9 non-university libraries had returned their surveys. It is anticipated that the first electronic edition of the preliminary tables will be issued in October.

Preservation Statistics. The 1991-92 *ARL Preservation Statistics* were distributed in July. As noted above, ARL has contracted for the development of software to enhance the

collection and analysis of the preservation statistics. The programs were tested during the summer, and the new software will be used for data gathering and analysis beginning with the 1992-93 survey in October 1993.

Liaison with external statistical programs. ARL has sought to engage with other library and higher education data-gathering efforts, extending the influence of ARL perspectives and experience assisting ARL in refining its data gathering and measurement approaches. Agencies and organizations with which ARL continues to work in this area include the National Center for Education Statistics, NCLIS, the ALA Office for Research, National Association of College and University Business Officers (NACUBO), the National Research Council, the Council on Library Resources, NISO, the Association of College and Research Libraries, and the Canadian Association of Research Libraries.

II. Communication and External Relations

The capability for Communication and External Relations is designed to: acquaint ARL members with current developments of importance to research libraries; inform the library profession of ARL's position on issues of importance to research libraries; influence policy and decision makers within higher education and other areas related to research and scholarship; and educate academic communities concerning issues related to research libraries. This capability monitors the activities of the scholarly, higher education, and library communities in order to communicate and initiate action on selected issues. External relations with relevant constituencies are carried on through all ARL programs.

Program Development. The supervision of the Executive Office's communications and publications functions was assumed by C. Brigid Welch, as Director of ARL Information Services. She will continue her role as OMS Senior Program Officer, in addition to taking on responsibility for managing marketing, promotion, editing, and production of ARL Executive Office publications. Communications support across Executive Office capabilities was reorganized and streamlined, with production, fulfillment, and marketing duties assumed by staff from the OMS Information Services Program. Annette C. Verna, OMS Program Assistant for Production and Marketing, assumed responsibility for assistance with production of marketing materials, conference brochures, proceedings, and other publications. Gloria Haws, OMS Customer Services Assistant, assumed responsibility for inventory management and fulfillment for ARL and OSAP publications. As part of the reorganization, the former Communications Specialist position was reduced to a half-time staff person with responsibility for providing editorial assistance for the ARL Executive Office. Lallie Dawson Leighton was hired as ARL Publications Program Assistant.

Newsletter. Three issues of *ARL: A Bimonthly Newsletter of Research Library Issues and Actions* appeared during this period. Jaia Barrett, director of the Office of Research and Development, served as editor; Lallie Leighton, ARL Publications Program Assistant, served as managing editor. Some of the issues addressed in the newsletter were: the impact of developments in the Pacific Rim region and their impact on research library collections and programs, legislative and policy developments with regard to copyright and fair use rights, reports on the deliberations of the AAU Research Libraries Project, electronic journals on the Internet, minority recruitment, and NREN and the development of the U.S. information infrastructure.

Minutes of the Meeting. The texts of *The Leadership Role in Library Fund Raising, Minutes of the 120th Meeting* (May 1992) and *Charting the Future: Research Libraries Prepare*

for the 21st Century, Minutes of the 121st Meeting (October 1992) were edited and distributed in the summer. Editing and design are underway for *Gateway to the Pacific Rim: Information Resources for the 21st Century, Minutes of the 122nd Annual Meeting* (May 1993), which should be available in November 1993.

Relations with the Scholarly Community and External Groups. Collaboration on both technical and policy levels is documented under all individual capabilities. Activities at the executive level this year included meetings with the National Humanities Alliance, the Association of American Universities, and the American Council of Learned Societies.

ARL was also instrumental in the development of HEIRAlliance Executive Strategies Report #2 — "What Presidents Need to Know ... About the Future of University Libraries: Technology and Scholarly Communication." This four-page booklet summarizes the Mellon study, and its synopsis was prepared by Ann Okerson. The report has generated considerable new interest in the full study.

University Libraries and Scholarly Communication. The ARL continued its efforts to broaden the impact of The Andrew W. Mellon Foundation publication entitled *University Libraries and Scholarly Communication* by encouraging discussions among members of the higher education and scholarly communications communities. Such discussions have taken place at ACLS, ALA, University of California Library Council, and the University of Pennsylvania. To date, over 4,600 copies have been distributed, and the publication has been reprinted twice. In addition, the text as well as tables and charts have been made available in electronic form for Internet retrieval from three sites: the University of Virginia Libraries, the American Mathematical Society, and the Coalition for Networked Information. Retrieval instructions are included in ARL Newsletter No. 170, page 5.

ARL-AAU Action Agenda. In 1991, the ARL Executive Director began a series of meetings with the Education Committee of the Association of American Universities about the challenges facing research libraries. The result was the 1992 adoption of a joint ARL-AAU action agenda and the establishment of an AAU Research Libraries Project. Key to the AAU Research Libraries Project is the establishment of three task forces, each one addressing a different action agenda item: the acquisition and distribution of foreign languages and area studies materials; intellectual property rights in an electronic environment; and a national strategy for managing scientific and technological information.

To oversee the work of the task forces, the AAU established a Steering Committee of AAU Presidents. The Steering Committee consists of Myles Brand, Chair, University of Oregon; Richard C. Atkinson, University of California, San Diego; John Lombardi, University of Florida; Martin A. Massengale, University of Nebraska; and Charles M. Vest, Massachusetts Institute of Technology. In September 1992, the AAU Steering Committee issued invitations to about three dozen faculty, university administrators, and librarians to serve on the Task Forces. Task Forces have met initially separately over the last six months, and on August 19-20, they met together in plenary session to conclude the initial project phase of issue analysis. A summary of the project was sent to each ARL director in February, and reports have appeared in the ARL newsletter, numbers 165, 167, and 170. Two program sessions during the October 1993 ARL Membership meeting will focus on the project and emerging options for action.

ARL is providing information and staff support for the AAU Task Forces. Duane Webster and Jaia Barrett are contacts for the project. The following Committees, ARL directors, and staff are liaisons to specific task forces:

Task Force on Acquisition and Distribution of Foreign Language and Area Studies Materials
Dorothy Gregor, University of California at Berkeley
Paul Mosher, University of Pennsylvania
George Shipman, University of Oregon

ARL Research Collections Committee and Jutta Reed-Scott

Task Force on Intellectual Property Rights in an Electronic Environment
Millicent Abell, Yale University
Scott Bennett, The Johns Hopkins University

ARL Scholarly Communications Committee and Ann Okerson
ARL Information Policies Committee and Prue Adler

Task Force on a National Strategy for Managing Scientific and Technical Information
Donald Koepp, Princeton University
Jay K. Lucker, MIT
Susan K. Nutter, North Carolina State University

ARL's STI Working Group and Jaia Barrett
Coalition for Networked Information and Paul Evan Peters

Electronic Communications at ARL. Several ARL electronic mail lists housed on the DEC Ultrix server operated by the Coalition for Networked Information support communication among ARL directors and for various special committees and project groups. As a node on the Internet, this computer is being used to support file sharing and information services.

Electronic publications issued in the last six months include versions of the the 1991-92 *ARL Preservation Statistics;* the *Directory of Electronic Journals, Newsletters and Academic Discussion Lists; University Libraries and Scholarly Communication* (the Mellon Report); and the white paper *Maximizing Access, Minimizing Costs* on interlibrary loan and document delivery by Mary E. Jackson and Shirley Baker.

Directors list-serv. In response to some concerns raised by the membership, A brief survey on satisfaction with the directors' list-serv was conducted in order to collect information on value, timeliness, use of the list-serv for surveys, business vs. more informal communiques, and changes needed to make the list more useful. The survey will also investigate the readiness of directors to move toward distribution of some of ARL's publications in electronic form. A report to membership will be made at the October membership meeting.

III. ARL Membership Meetings

The ARL membership meeting capability is designed to develop programs on topics of interest to ARL membership, schedule and manage meetings and activities, coordinate on-site local arrangements, and evaluate the success of these meetings. The May meeting emphasizes a topical program, coordinated by the ARL President-elect; the October meeting focuses on internal finances, elections, and strategic planning.

May 1993. Honolulu, Hawaii was the venue for the 122nd ARL Meeting. The program, *Gateway to the Pacific Rim: Information Resources for the 21st Century,* was designed to highlight the key issues of East/West scholarship and research libraries' response. Michael

Oksenberg, President of the East-West Center opened the program with an exciting overview of the explosive nature of growth in this region. He was followed by John McChesney, commentator for National Public Radio, who highlighted concerns about how we gain understanding of this vital area. Two faculty members spoke to the challenge of doing research on Pacific Rim topics. The library scene in Japan and Korea was described by library leaders from those two countries, and a concurrent session presented some of the initiatives the library community in the U.S. has undertaken to facilitate Pacific Rim scholarship. A panel of local community and higher education leaders addressed issues of diversity in a diverse society like Hawaii. Hosted by the University of Hawaii Libraries, the program sessions were held May 6-7.

October 1993. The national and international development of an information infrastructure will be the focus of the Fall ARL meeting. The title, *The Emerging Information Infrastructure: Players, Issues, Technology, and Strategies,* reflects the critical dynamic nature of this topic. Attendees will hear from government leaders, representatives from various stakeholder groups, and experts on technology and information policy issues to help create a common knowledge base from which to consider Association priorities. The Andrew W. Mellon Report and the Association of American Universities' Research Libraries Project will provide focus for discussions.

IV. Governance of the Association

The capability for governance of the Association is intended to represent prudently the interests of ARL members in directing the business of the Association. The governing body is the ARL Board of Directors. The functions of the Board include: establishing operating policies, budgets, and fiscal controls; approving long-range plans; modifying or clarifying the ARL mission and continuing objectives; monitoring performance and the succession of the Executive Director; and representing ARL to the community. The staff role in this capability is to provide information to the Board that is adequate to fulfill its responsibilities in a knowledgeable and expeditious manner. The Board establishes several committees to help achieve effective governance of the Association.

Board Meets New A.A.U. President. The ARL Board of Directors met on July 12, 1993 with Dr. C. Pings, the new President of the Association of American Universities. and with John Vaughn, AAU Federal Relations Officer. A number of topics were covered in the two-hour meeting including the general mood in the country regarding universities and higher education. Of particular importance was a review of the status of the AAU Research Libraries Project.

Financial Review. The Executive Committee and the ARL Board of Directors met in July to develop the financial strategy for ARL in 1994 and to determine a recommendation for 1994 dues. In adopting the 1994 financial strategy, the ARL Board of Directors worked to minimize any dues increase needed. This action was a response to membership expression of concern at the 1992 Business Meeting that major dues increases could not be sustained by members. The strategy adopted by the Board encompasses a small dues increase **($12,600 annually — an increase of $600)** combined with cost containment by ARL staff and committees and renewed efforts to secure grant funds. The recommended increase in dues will provide partial support for expected increases in program costs and for starting a minority recruitment program. The added revenue, together with cost-containment efforts, will provide a balanced budget with a modest increase in activity.

Committee and Board Actions. The ARL Board of Directors established a Work Group on Minority Recruitment Initiatives early in the year to follow-up on the work of three earlier member groups. At the July Board meeting, the Task Force recommended establishing an ongoing minority recruitment capability at ARL. Characteristics of such a capability and its development over a five-year time frame were discussed along with the development of an ARL scholarship fund and library partnerships with library schools. The ARL Board, in accepting the Work Group's recommendation, established the goal of building an adequate pool of minority research librarians as a priority target in the short range.

The Task Force on Association Membership Issues, established at the end of 1992, prepared a preliminary report that requests a schedule extension to allow a meeting in the fall of 1993 and a report to the Board in February 1994. The final report will address questions of Canadian payment of dues in Canadian currency, establishment of special categories of membership, and options for review of the ARL membership criteria in light of the changing environment of research libraries.

The nominating committee, chaired by President-elect John Black and including Dorothy Gregor and Don Koepp, surveyed member directors to establish a pool of possibilities for standing for election to the ARL Board of Directors. Drawing on this pool, the committee brought forth a slate of three candidates: Kent Hendrickson, Gloria Werner, and Jim Williams.

The directors' and officers' liability insurance coverage was extended to include any member leader or ARL staff working on behalf of the Association. Previously only elected officers, committee chairs, and senior program staff were covered. The increased coverage cost $700, bringing the annual fee for this coverage to $4,900. The insurer is Fidelity and Casualty Insurance Company, the limit is $1 million, and the deductible is $10,000.

The Working Group charged with assessing the impact of the NEH Preservation Program completed its report in June. Formed under the auspices of the ARL Preservation Committee, its members were Sherry Byrne, University of Chicago; Michael Keller, Yale University; Anne Kenney, Cornell; Carolyn Morrow, Harvard; Barclay Ogden, UC-Berkeley; David Stam, Syracuse; and Gerry Munoff, Chair, University of Chicago. The Board of Directors issued a statement at its July 12 meeting that acknowledged the first five years of the expanded NEH Preservation Program. The statement noted ARL's strong support for NEH's Division of Preservation and Access and the overwhelming success of the Program in assisting ARL libraries to ensure the preservation of and access to important research materials.

The Access Committee established a Subcommittee on Interlibrary Loan and Document Delivery. The subcommittee is promoting discussion of changes needed to enhance access to research resources via electronic resource sharing. The subcommittee is chaired by Shirley Baker, Washington University, and its members are self-selected from the membership of the full Access Committee.

At the request of the Executive Committee, ARL convened the **Ad Hoc Working Group on Copyright Issues.** The Ad Hoc Group is exploring ARL actions and future initiatives in the copyright and intellectual property rights arena. The Group is comprised of members of the ARL Board of Directors, members of the Information Policy Committee, Scholarly Communication Committee, Access to Information Resources Committee, and Preservation Committee. Representatives met at ARL Headquarters on September 12-13 to explore possible principles, criteria, and practices regarding copyright, cooperative agreements, and licensing issues. Jim Neal, chair, ARL Information Policies Committee, facilitated the discussion which resulted in an action plan presented to the ARL Board at its October meeting.

Status reports on standing committee and selected advisory and project group activities follow:

Committee on Information Policies:

Chair, Jim Neal; Staff, Prue Adler

1993 Agenda of Issues: U.S. government information policies, reauthorization of HEA, NREN legislation, telecommunications, copyright law, GIS literacy project, and issues surrounding intellectual property concerns in an electronic environment.

Committee on Access to Information Resources:

Chair, Nancy Eaton; Staff, Jaia Barrett

1993 Agenda of Issues: reconceptualization of resource sharing in an electronic age, supporting and monitoring the bibliographic control efforts of the Library of Congress and NCCP, and the emerging role of data utilities and national networks.

Committee on Research Collections:

Chair, Dale Canelas; Staff, Jutta Reed-Scott

1993 Agenda of Issues: foreign acquisitions project, NCIP and the Conspectus, and consideration of the impact of information technology on collection development strategies.

Committee on Preservation of Research Library Materials:

Chair, Robert Street; Staff, Jutta Reed-Scott

1993 Agenda of Issues: shaping the development of an ARL preservation action plan; monitoring mass deacidification technology; assessing the impact of new publishing/distribution technologies on preservation, including the preservation of electronic media; promoting use of permanent paper; and retrospective converting of the National Register of Microform Masters (NRMM).

Committee on the Management of Research Library Resources:

Chair, Kent Hendrickson; Staff, Susan Jurow

1993 Agenda of Issues: organizational effectiveness, human resources utilization and development, and library education and recruitment.

Committee on Scholarly Communication:

Chair, Millicent D. Abell; Staff, Ann Okerson

1993 Agenda of Issues: encouragement of electronic journal experiments, strategy development in the area of scholarly publishing, promotion of change in management of intellectual property rights, and advancement of alliances with other scholarly and higher education groups.

Advisory Committee on ARL Statistics and Measurement:

Chair, William Crowe; Staff, Nicola Daval

1993 Agenda of Issues: analyzing expenditure categories, refining government documents measures, reviewing access and automation measures, developing machine-readable formats for data collection, and monitoring external statistics projects in the library and higher education arena.

Advisory Committee on the Office of Management Services:

Chair, Kent Hendrickson; Staff, Susan Jurow

Assignment: to advise on strategy development for ongoing operations, provide guidance in performance and program effectiveness assessment, and review OMS budget and financial plans.

Advisory Committee on ARL/CLR Project on Research Library Measurement Tools and Techniques:

No Chair; Staff, Jaia Barrett and Susan Jurow

Assignment: to organize a seminar to characterize and discuss the kinds of measurement and assessment needs of academic and research libraries that might be addressed by tools and techniques available in other fields.

Task Force on Association Membership Issues:

Chair, Gloria Werner; Staff, Nicola Daval

Assignment: to review new membership criteria, special categories of membership, and Canadian issues and present a preliminary report to the Board in July 1993, with a final report due by October 1993.

Working Group on Minority Recruitment Initiatives:

Chair, George W. Shipment; Staff, Kriza Jennings

Assignment: to develop a proposal for an ARL-sponsored scholarship program and initiatives in the areas of recruitment, retention, and workplace integration of minorities in professional positions in research libraries.

Working Group on Scientific and Technical Information:

No Chair; Staff, Jaia Barrett

Assignment: to monitor STI developments and to function as advisor to the Board for shaping further ARL activities in this area.

Working Group on Future Online Library Information Systems:

Chair, Paula Kaufman; Staff, Jaia Barrett

Assignment: to focus discussion on research library future needs for online library information systems.

V. Management Services (Office of Management Services (OMS)

This capability encompasses the provision of consulting, training, and publishing services on the management of human and material resources in libraries. The activities are carried out through the Office of Management Services, including the OMS Consulting Services Program, the OMS Training and Staff Development Program, the OMS Information Services Program, and the OMS Diversity Consulting Program.

Committee on the Management of Research Library Resources

The Committee on the Management of Research Library Resources oversees and advises on the work of the OMS, assists in the development and evaluation of programs, and recommends OMS policy and priorities.

The Management Committee has worked on three parallel agendas over the past two years: human resource development; recruitment and library education; and organizational effectiveness. The Committee continues to look for ways of promoting these three issues. Interest was expressed in learning more about the approach that business is taking to increasing support for training and staff development. The recruitment and library education agenda is being developed on two fronts. A Management Committee subcommittee is drafting an updated policy on library education, and the OMS Diversity Consultant, as staff support, is seeking

ways of increasing contact with ALISE. Staff continues to make efforts to schedule a seminar for developing new measurement tools and techniques for academic libraries with the assistance of professionals from other disciplines.

Advisory Committee for the OMS

The Advisory Committee for the OMS was established by Board action in mid-1991 and convened for the first time at the October 1991 Membership Meeting. The chair of the ARL Committee on the Management of Library Resources serves as the chair of the Advisory Committee. The Committee reviewed the 1992 performance of the three primary programs (consulting, information services, and training) and reviewed the budget for 1993. To ensure continued improvement in the fiscal stability of the OMS, the Committee advised the director to continue to follow the pattern of small, incremental increases into the fee structure. The Committee encouraged the director to continue to build new consulting initiatives in the area of training and staff development and to experiment further with sharply focused conferences. A more technological approach to information services was recommended when the financial resources are available.

OMS Consulting Services Program

The Consulting Services Program includes activities related to the conduct of institutional studies and consultations. To assist libraries in their efforts to make the transition from an archival role to that of an information gateway during this period of limited resources, OMS Consulting Services Program provides a wide range of consulting services, incorporating new research on service delivery and marketing as well as on organizational effectiveness. Using an assisted self-study approach, OMS Consulting Services provides academic and research libraries with programs to systematically study their internal operations and develop workable plans for improvement in such areas as public and technical services, planning, and organizational review and design. The OMS provides onsite and telephone consultation, staff training, manuals, and other materials to aid participants in gathering information and in situation analysis.

Summary of Activities, May-October 1993

During this period, a wide range of projects were undertaken:

Strategic Planning and Planning Retreats: University of Kansas, Miami University, National Agricultural Library, Harvard Fine Arts Library, University of Rochester

Facilitated Discussion: ALA LITA Telecommunication Policy Forum

Collection Assessment Project: North Carolina State University, SUNY–Stony Brook

Organizational Review and Design: University of Arizona, University of California at Irvine

Teambuilding and Team Management: Massachusetts Institute of Technology-Rotch Library, Pennsylvania State University, York University University of California at San Francisco

Total Quality Management Programs: Texas A&M University

Staff Development: Texas A&M University,Massachusetts Institute of Technology, Rice University, University of Nebraska

Senior Management Team Development: Harvard (Countway Library)

OMS Training and Staff Development Program

The Training and Staff Development Program is designed to help academic and research libraries find better ways of developing their human resources. The program is made up of institutes and workshops designed to strengthen the organizational, analytical, creative, and interpersonal skills of library staff. It seeks to promote personal responsibility for the improvement of library services and programs as well as for effective individual performance.

Summary of Activities

During this period, the following training events were conducted:

Public Institutes and Workshops

Library Management Skills Institute I, Chicago, October 12-15, 1993
Library Management Skills Institute I, Washington, DC, May 3-6, 1993
Management Skills Institute for Assistant/Associate University Librarians, Safety Harbor, FL, September 28 - October 1
Implementing Continuous Improvement Programs, Cambridge, MA, October 26-29, 1993

Sponsored Institutes

Library Management Skills Institute I, University of Pittsburgh, June 14-17, 1993
Library Management Skills Institute I, Library of Congress, October 4-8, 1993
Library Management Skills Institute II, Universities of Manitoba and North Dakota, August 8-13, 1993
Update I, Harvard University, September 22-23, 1993
Update II, Harvard University, October 7-8, 1993
Leadership Skills, Iowa State, September 13-15, 1993
Creativity/Leadership, University of California, Los Angeles, May 25-27, 1993

Special Focus Workshops

Creativity, Medical Library Association, May 17, 1993
Performance, Planning and Assessment, Rice University, June 22-23, 1993
New Approaches to Management, Harvard University, June 18, 1993
Beyond Type: The MBTI Expanded Analysis Report, New Orleans, June 24, 1993
Implementing Total Quality Management, New Orleans, June 25, 1993
Implementing Minority Recruitment and Retention Strategies, June 29, 1993
Total Quality Management, University of Michigan, August 16, 1993
Leadership in a Changing Environment, Pennsylvania State University, September 2, 1993
Team Building, Harvard (Countway Library), September 9 and 17, 1993

OMS Information Services Program

The OMS Information Services Program gathers, analyzes, and distributes information on contemporary management techniques through the Systems and Procedures Exchange Center (SPEC), conducts surveys and analytical reviews, and answers inquiries on library issues and trends. These activities are accomplished through an active publication and service program whose principal components are the Systems and Procedures Exchange Center (SPEC), the OMS Occasional Paper Series, the Quick-SPEC survey services, and the OMS Conferences Program.

Summary of Activities

Quick-SPEC Surveys Completed. Two Quick-SPEC surveys were conducted on the following topics: Cutbacks in Library Materials Purchasing, 1993/94 and Policies and Practices on Loaning Software.

Tallies of Quick-SPEC survey responses are available free of charge upon request to all libraries responding to the surveys. Other interested ARL members can request copies and documentation for a minimal charge.

SPEC Kits Completed. The following SPEC Kits were published and distributed: *Library Development and Fund Raising*, compiled by Lynda Corey Claassen, University of California, San Diego; *Cooperative Collection Development Programs in Foreign Acquisitions*, compiled by Patricia Brennan and Jutta Reed-Scott, ARL; *Public Services for Remote Users*, compiled by Craig Haynes, University of California, San Diego; *TQM Programs in ARL Libraries*, compiled by Maureen Sullivan, ARL Office of Management Services; *Librarian Job Descriptions*, compiled by Tom H. Ray, Louisiana State University; *Unpublished Materials: Libraries and Fair Use*, compiled by Angie Whaley LeClercq, University of Tennessee, Knoxville.

Upcoming SPEC Surveys. Managing Electronic Journals, Newsletters, and Discussion Lists; Allocation of Research Overhead Funds; Reference Service Policies; Strategic Planning; Staff Development Programs.

Upcoming SPEC Kits. Audiovisual and Multimedia Collections; Benefits for Professional Staff; Cataloging Microreproductions; Automated Systems for Preservation; Library Staff Handbooks; Reference Service Policies; Impact of Technology on Library Facilities.

New from OMS Publications. OMS Occasional Paper #16, *Resource Strategies in the '90s: Trends in ARL University Libraries*, written by Annette Melville, University of California, Berkeley, School of Library and Information Science.

Collection Conservation Treatment: a Resource Manual for Program Development and Conservation Technician Training, compiled by Marilyn Jones, Assistant Head, Conservation Department, University of California, Berkeley.

Upcoming OMS Publications. The following publications are forthcoming as OMS Occasional Papers: Library Information Desks; Audiovisual and Multimedia Collections; The Myers-Briggs Type Indicator and Library Management; Allocation of Student Technology Fees in ARL Libraries.

OMS Conferences. The ARL Office of Management Services announces sponsorship of the 1st International Conference on TQM and Academic Libraries to be held in Washington, DC, in April 20-22, 1994. Co-sponsored by Wayne State University Libraries, the conference will focus on early quality improvement efforts in academic libraries. Sessions will address using the TQM management and planning tools, benchmarking, initiating and implementing a TQM program, building a continuous improvement climate, and facilitation skills for teams. Designed for academic librarians, administrators, faculty, and other members of the higher education community interested or involved in total quality management programs in academic or research libraries, the conference will also showcase TQM programs in academic libraries.

OMS diversity Consulting Program

The OMS Diversity Project assists ARL libraries in addressing a multitude of diversity-related issues. Its primary concern is the development of workplace climates in ARL libraries that welcome, develop, foster, and support diversity. The project seeks to develop an awareness of human differences that leads to value of and respect for these differences. The project examines issues surrounding work relationships in libraries, while also considering the impact of diversity on library services, interactions with library users, and the development of collections.

The OMS Diversity Consultant provides staff development programs, presentations, and onsite, e-mail, and telephone consultation; facilitates staff discussions; conducts research via reviews of the literature and site visits to institutions; prepares articles and publications to share the findings from the project; seeks to identify strategies for adaptation by libraries and library schools; identifies issues and strategies relating to diversity and promotes them within ARL as well as to other national library-affiliated groups; and fosters partnerships on behalf of ARL with natural allies in the profession. Her major responsibility is to generate interest and a focus on diversity within the library community in general and to support the information needs of ARL libraries in particular.

Summary of Activities, 1990-1993

- Developed a partnership pilot program for implementation in 1994 to focus on minority recruitment and retention strategies. Began dialogue with selected libraries, library and information science programs, library associations, consortia, networks, and state libraries to explore participation in the pilot program. Prepared a grant proposal to obtain funding.

- Prepared a series of articles for the ARL newsletter focusing on minority recruitment and retention issues and strategies. Explored the possibility of publishing additional articles on minority recruitment and diversity issues in 1994 with the appropriate editorial staff of other national library journals.

- Provided staffing support to the ARL Minority Recruitment and Retention Working Group, both at membership meetings and during a planning retreat.

- Provided input to the ARL Executive Office and the ARL Board in their explorations for the development of a minority recruitment capability and the development of a formal partnership with ALISE.

- Implemented and promoted the Diversity Project's consulting, training, and presentation services. Developed and offered the first full-day public seminars focusing on diversity issues.

- Prepared a comprehensive report for OMS on the content, philosophy, and objectives of the Diversity Project's services available to ARL libraries. It is anticipated that, by the end of 1993, at least 50 different institutions — several of which have requested more than one visit or service — will have been provided with consulting, training, and presentation services.

- Worked with ALA's OLPR office and the DOE's Library Programs office, to explore the importance of the HEA Title IIB fellowships and institutes for the recruitment and retention of minority librarians. This resulted in a contract with ALA to explore and document the HEA fellowships.

- Contracted to serve as guest editor for a minority recruitment readings package for ALA OLPR's T.I.P. Kit Series and contributing editor for a T.I.P. Kit on valuing diversity. Also, contracted to prepare a brochure targeted to recruiting minorities for library and information science careers.

- Conducted several mailings to promote the Diversity Project's services including: networks, consortia, and cooperatives; ARL libraries' personnel officers; and library educators and ALISE members.

By the end of 1993, it is expected that the Diversity Consultant will have conducted over 50 site visits, including 35% of the accredited library and information science programs.

These site visits provide insights and perspectives on organizational responses to diversity, and efforts to implement programs to promote diversity or minority recruitment strategies.

Site visits were conducted at:

- Michigan State University Library, MI
- Cleveland Public Library, OH
- Cleveland State University Library, OH
- SUNY–Buffalo Library, NY
- Queens College CUNY School of Library and Information Science, NY
- Queens Borough Public Library, NY
- University of Hawaii School of Library and Information Science, HI
- Wright State University, Office of Multicultural Affairs, OH
- University of Wisconsin–Madison School of Library and Information Science, WI
- Rosary College School of Library and Information Science, IL

Onsite consultations were held with:

- University of Missouri–Columbia Library, MO
- Michigan State University Library, MI
- Michigan Library Association, MI
- Library of Congress, DC
- SUNY–Buffalo Library, NY
- Syracuse University Library, NY
- SUNY–Albany Library, NY
- New York State, Office of Cultural Education, NY
- Queens Borough Public Library, NY
- University of Wisconsin–Madison Library, WI
- ALA Office of Library & Personnel Resources, IL

Presentations, facilitated discussions, and/or seminars were conducted for:

- Colorado State University Library, CO
- University of Missouri–Columbia School of Library and Information Science, MO
- St. Louis Regional Research Library Group, MO
- Daniel Boone Public Library, MO
- University of Pittsburgh School of Library and Information Science, PA
- Michigan State University Library, MI
- Library of Congress, DC
- CAPCON Library Network, DC
- Smithsonian Institution Libraries, DC
- Cleveland Area Metropolitan Library System, OH
- SUNY–Buffalo Library, NY
- SUNY–Albany Library, NY
- SUNY–Stonybrook Library, NY
- ALA Conference (LAMA Cultural Diversity Committee), LA

Scheduled presentations, facilitated discussions, seminars, and/or consultations remaining in 1993 include:

- SUNY–Buffalo Library, NY
- University of Pittsburgh School of Library and Information Science, PA
- Wayne State University School of Library and Information Science, MI
- Michigan Library Association, MI
- SUNY–Albany Library, NY
- University of Missouri–Columbia Library, MO

- University of Missouri–Columbia School of Library and Information Science, MO
- Queens Borough Public Library, NY
- Library of Congress, DC
- University of Virginia Library, VA
- Missouri Library Association, MO
- Case Western Reserve Library, OH
- Kent State University School of Library and Information Science, OH
- Kalamazoo Public Library, MI
- University of Colorado Library, CO
- University of Oregon Library, OR
- Pennsylvania State University Library, PA

Scheduled site visits remaining in 1993 include:

- Detroit Public Library, MI
- New York Library Assoc., NY
- St. Johns Department of Library and Information Science, NY
- East Cleveland Public Library, OH
- Cleveland Area Metropolitan Library System, OH
- State Library of Pennsylvania, PA

OMS Operations

OMS Operations encompasses overall coordination and management of the Office of Management Services, program planning, financial planning and strategy, fiscal control, and secretarial support and office operations. As part of the move of ARL headquarters to new office space, several of the OMS technical functions, such as order fulfillment, were merged or integrated with similar ARL functions to eliminate redundancy and effect cost savings. A portion of the time of the OMS Director and the OMS Senior Program Office for Information Services were devoted to assisting with ARL Executive Office operations. Initial planning for upgrading automation and computing resources were begun to further streamline operations.

VI. Federal Relations and Information Policy

The Federal Relations and Information Policy Program is designed to: monitor activities resulting from legislative, regulatory, or operating practices and programs of various international and domestic government agencies and other relevant bodies on matters of concern to research libraries; prepare analysis of and response to federal information policies; influence federal action on research libraries-related issues; examine issues of importance to the future development of research libraries; and develop ARL positions on issues that reflect the needs and interests of members. This capability includes the ARL Information Policies Committee.

Information Infrastructure, Networking, and Telecommunications: ARL worked with staff of the House, Senate, and the Administration on Information Infrastructure bills. H.R. 1757, the Information Infrastructure Act of 1993, passed the House and awaits Senate action. ARL, with others in the higher education community, developed compromise language with representatives of the Regional Bell Telephone Companies that resulted in passage of the bill. Similar discussions are occurring to move S. 4, the National Competitiveness Act of 1993, forward. ARL is working with congressional staff on related telecommunications bills, including S. 1086.

ARL, with other public interest organizations, is sponsoring the **Telecommunications Policy Roundtable**. The Roundtable is an ad hoc coalition of public interest organizations advocating a public interest vision and role in the development and implementation of the national information infrastructure. ARL has endorsed the Roundtable's statement, "Renewing the Commitment to a Public Telecommunications Policy and Public Interest Principles," and a press conference to introduce the principles and work of the Roundtable is set for October 26. As of September 21, 59 national public interest organizations have joined ARL in endorsing the principles. Prue Adler has represented the research library interests on these issues in numerous meetings with members of the Clinton-Gore Administration.

Susan Nutter, ARL President, was appointed to the National Research Council's Committee on National Research and Education Network Issues. The Committee is charged with developing a vision for the NREN program over the next five years and addressing long-term or enduring issues relating to the program's development. The Committee has met a number of times and conducted a series of hearings seeking input from the filed. ARL staff have contributed to these discussions. A report is forthcoming.

John Black and Prue Adler represented ARL in a LITA-sponsored conference that sought to generate common positions for library associations on networking and telecommunications issues.

In mid-July, several ARL directors (Emily Mobley, Joseph Howard, Peter Lyman, Robert Wedgeworth) participated in the day-long symposium at the Library of Congress, "Delivering Electronic Information in a Knowledge-based Democracy," joining over 40 representatives from business, government, and academia. The session, co-chaired by Vice President Al Gore and Librarian of Congress James Billington, primarily explored legal and policy issues related to the creation of the national information infrastructure. In addition to the ARL directors attending, Paul Peters represented CNI and Prue Adler was an observer. It is expected that the Proceedings of the Symposium will be issued shortly.

Copyright and Intellectual Property. ARL, as coordinator of the joint effort on the *amicus* brief re *American Geophysical Union v. Texaco,* continues to monitor and disseminate information concerning the case.

ARL, with seven other associations in the library and scholarly communities, expressed concerns with H.R. 897 and S. 373, the **Copyright Reform Act of 1993.** The bills propose significant changes to copyright policy and would have detrimental effects on the Library of Congress' collection. ARL's statement called for a careful and thorough review of the proposed legislation prior to further congressional action on these bills.

Negotiations between representatives of the library community, the information and publishing industries, congressional staff, and LC staff continue on the **Library of Congress Fund Service Legislation**, S. 345. Proposed language relating to the imposition of a proprietary rights management system is the focus of the ongoing discussions. Library associations have opposed such provisions.

With AALL and SLA, ARL responded to the Library of Congress Copyright Office's request for comment on the effectiveness and impact of the **Computer Software Rental Amendments Act of 1990**. A Quick-SPEC Survey was conducted to garner information regarding ARL practices on this issue.

Information Policy Legislation and Related Activities. ARL actively participated in information policy debates. ARL hosted and Prue Adler facilitated the **Dupont Circle Group,** a

working group of librarians seeking to define a new federal information access program, that builds on, yet may be distinct from, the depository library program. The recommendations of the group have been discussed in numerous forums for comment and review, and a follow-on meeting for members of the depository community is scheduled for October 29-31.

Prue Adler participated in the Blue Mountain Center Retreat, a session seeking to set a new agenda for access to government information issues. The Blue Mountain Group has met with members of the White House staff to promote public access issues relating to the information infrastructure initiatives.

ARL was asked to submit testimony to the House Government Operations Committee on provisions relating to public access and dissemination programs included in the bill that would elevate the **Environmental Protection Agency** to cabinet level status. ARL continues to work with congressional staff on this bill.

ARL worked with staff of the Department of Education's Family Policy Compliance Office to clarify the Department's position on the Family Educational Rights and the Privacy Act (FERPA) and the public disclosure of **theses**. The Department's recent clarification represents a significant improvement over earlier interpretations and should accommodate existing research library practices.

With the reintroduction of the **Paperwork Reduction Act** bills (by Sen. Nunn and Sen. Glenn), which seek to define OMB authority and agency responsibilities in the information arena, ARL met with congressional and executive branch staff to discuss the two bills.

Planning for Phase III of the **ARL GIS Literacy Project,** extending the Project to Canada, is underway. Staff met with members of ESRI–Canada to discuss the program and attended a Canadian GIS Users Group meeting. A third GIS training session was conducted for 30 staff members from ARL institutions. ARL continues to participate in discussions and conferences relating to the development of a national spatial data standard.

With staff of CNI, ARL staff met with congressional staff to explore the development of training programs on Internet and network access for congressional staff.

ARL worked with congressional and agency staff in reviewing and responding to the **National Performance Review**, with particular focus on the implications for the National Agricultural Library, the Government Printing Office, and Department of Education Library Programs.

Appropriations, Indirect Costs. HEA. ARL, with ALA and other members of the higher education community, met with members of Congress, congressional staff, and White House staff, seeking to restore proposed cuts to the Department of Education library programs. With extraordinary help and support from ARL directors, 83 members of Congress joined Rep. Kildee (D-MI) in a letter to Chairman Natcher of the House Appropriations Committee. Second, directors of ARL libraries, with members on the House Appropriations Subcommittee, wrote and called their member of Congress in support of Title II with a particular focus on Title II-C. Every member of the House and Senate Subcommittee was contacted by an ARL director, in some cases a university president. *Despite a strong show of support in the House and Senate, the Clinton-Gore administration is seeking to rescind FY 1994 HEA funds.* ARL continues to work with a coalition of 20 other higher-education associations to promote increased funding for Title VI programs.

David Stam presented testimony on the FY 1994 **NEH** budget request on behalf of ARL, CPA, and NHA.

Indirect Cost: ARL continued to monitor congressional and federal activities (the revised OMB Circular) relating to indirect cost issues and met with key congressional staff on recent indirect cost issue discussions.

VII. Collection Services

This capability addresses the broad issues facing research libraries in the areas of collection management and preservation. The work of two ARL committees is covered by this capability: Research Collections and Preservation of Research Library Materials.

ARL's collection development efforts are directed toward the program objective of supporting member libraries' efforts to develop and maintain research collections, both individually and in the aggregate. Strategies to accomplish the objective include: promotion of needed government and foundation support for collections of national importance in the U.S. and Canada; efforts toward improving the structures and processes needed for effective cooperative collection development programs, including the North American Collections Inventory Project (NCIP); provision of collection management consulting through the Collection Analysis Program; and development and operation of collection management training programs.

ARL's preservation efforts support the strategic program objective of promoting and coordinating member libraries' programs to preserve their collections. Strategies in pursuit of this objective include: advocacy for strengthening and encouraging broad-based participation in national preservation efforts in the U.S. and Canada; support for development of preservation programs within member libraries; support for effective bibliographic control of preservation-related process; encouragement for development of preservation information resources; and monitoring of technological developments that may have an impact on preservation goals.

Committee on Research Collections

The Committee is providing oversight for the Foreign Acquisitions Project, funded by The Andrew W. Mellon Foundation. A central focus is the consideration of service models for the collection and distribution of foreign materials. A corollary effort is the exploration of the implications of electronic information resources and the consideration of innovative approaches and structures aimed at facilitating electronic resource sharing. The Committee also advised ARL on the ongoing operation of the NCIP and discussed collection development issues of general interest to ARL.

Committee on Preservation of Research Library Materials

The Committee pursued a number of initiatives to address preservation problems in research libraries. The Committee reviewed the report of the ARL Working Group on the Review of the NEH Program. A major focus of the Committee is development of an ARL action plan for preservation. The plan will build on the discussions at the May 1992 Chicago Preservation Planning Conference as well as the recommendations resulting from the 1993 evaluation of the impact of the NEH preservation programs on ARL libraries. A corollary effort is consideration of issues in the utilization of digital technology for preserving retrospective scholarly resources.

Strengthening North American preservation programs is an ongoing Committee priority. Meeting that objective builds on the work of two groups:

The ARL Preservation Planning Task Force

The Task Force was established at the recommendation of the participants at the May 1992 Preservation Planning Conference co-sponsored by the University of Chicago Library and the Association of Research Libraries. The Conference provided the forum for building consensus on a plan for the preservation of research libraries' collections. The Task Force was asked to further clarify the preservation needs highlighted during the conference discussions and to develop strategies to move the preservation agenda forward.

Convened under the aegis of the ARL Committee on Preservation of Research Library Materials, the Task Force, under the chairmanship of Martin Runkle, Director, University of Chicago, met on August 18, 1992, in Washington, D.C., to pursue its charge. In spring 1993, Robert L. Street, Vice Provost and Dean of Libraries and Information Resources at Stanford University and chair of the ARL Preservation of Research Library Materials Committee, became chair of the Task Force. At its May 1993 meeting, the Preservation of Research Library Materials Committee agreed that the focus of the work of the Task Force would be shaping the ARL preservation agenda. To identify an ARL action plan, the first step is drafting a "white paper" that will describe national, regional, and local preservation activities already under way and articulate the preservation needs of ARL libraries within the context of national programs.

ARL Working Group on the Review of the NEH Program

Established under the aegis of the ARL Preservation of Research Library Materials Committee, the Working Group was charged with gathering information on the importance of NEH preservation funding to ARL libraries in the United States with regards to both benefits and additional needs. It was chaired by Gerry Munoff, Deputy Director, University of Chicago Library.

The group's draft report assisted ARL in preparing testimony in support of NEH's fiscal year 1994 appropriations. The final report was distributed to ARL directors in June. It documents the profound impact of the NEH preservation program and makes a series of recommendations that will be considered by the Preservation Committee at the October meeting.

Conspectus. ARL and the Research Libraries Group agreed on a new division of responsibilities for supporting the Conspectus, the national database of comparative collection strengths. ARL has now assumed responsibility for the maintenance and development of Conspectus divisions, guidelines, and other tools to be used in conjunction with the Conspectus. RLG will maintain responsibility for the Conspectus-Online database on RLIN. RLG will also be the source for all Conspectus materials, and ARL will no longer distribute Conspectus worksheets or guidelines

VIII. Access and Technology

This capability addresses the myriad issues related to the ARL mission of enhancing access to scholarly information resources. The work of five ARL groups is covered by this capability: the Committee on Access to Information Resources, the Advisory Committee on the ARL-RLG Interlibrary Loan Cost Study, the Work Group on Scientific and Technical Information, the Task Force on Future Online Library Information Systems, and the ARL Steering Committee for the Coalition on Networked Information. In addition, this capability encompasses the relationship established among ARL, EDUCOM, and CAUSE -- the HEIRAlliance.

Committee on Access to Information Resources

Activity within the committee, chaired by Nancy Eaton, has focused on the committee's agenda in support of resource sharing in an electronic environment. A working plan developed at October 1992's meeting centered on securing discussion and comment on the issues developed in a white paper authored by Shirley Baker, Washington University, and Mary Jackson, University of Pennsylvania. The white paper, *Maximizing Access, Minimizing Costs*, critiqued the current ILL system and outlined the elements of the "ideal" system. Discussion within ARL and at last January and June's ALA with librarians, system providers, and developers was positive. The committee effort, now formalized into a Subcommittee on ILL and Document Delivery, chaired by Shirley Baker, was urged to maintain an active and visible program that would encourage developments to improve ILL systems and operations. The result is the North American ILL/DD (NAILLDD) Project.

Last spring, the University of Pennsylvania generously agreed to support a leave of absence for Mary Jackson, ILL librarian and co-author of the white paper, to undertake these follow-up actions on behalf of ARL libraries. These have included orchestrating discussions in June with a wide variety of vendors and system providers to enlist their participation in a series of meetings begun this August to collaborate on implementing elements of the "ideal" ILL system.

In August, over 30 vendor representatives, major players in the ILL/DD arena, met to participate in the project Developers/Implementors Group (DIG). The DIG seeks to facilitate the development of technologies that will meet the three priorities that have surfaced in Subcommittee discussions: a management system, an accounting system, and interconnectivity and linkages among systems.

Other activities being pursued by the committee include: an examination of the cost and other measures of ILL/document delivery and experimental modeling for determining when to borrow versus purchase; development of a paper on the issue of patron fees for ILL; development of a training capability to assist libraries reconceptualize their ILL and document delivery services; and an assessment of system and protocol standards to determine if expansion or development of standards is required.

Work Group on Scientific and Technical Information

The Work Group was formed in 1991 to follow up the report of the 1991 ARL Task Force on a National Plan for Science and Technology Information Needs. The Work Group monitors STI developments and functions as an advisor to the Board for shaping ARL activities in this area. The Work Group is the primary link for ARL Membership to monitor and advise on input for the AAU Task Force on Managing Scientific and Technological Information. (See section II for report on AAU project.)

In October 1992 the group developed an outline of issues to be addressed by libraries that enter into partnerships with other libraries or agencies to provide integrated information services on a national scale. Participating in discussions were representatives of the National Agricultural Library, the proposed National Library for the Environment, and the U.S. Interagency Global Change Initiative. The results were aired during the October program session, reviewed in May 1993, and provided to the AAU STI Task Force.

Advisory Committee on the ARL-RLG Interlibrary Loan Cost Study

The Advisory Committee, chaired by Joan Chambers, was established to advise ARL staff on the conduct of the ARL-RLG Interlibrary Loan Cost Study. The joint project collected

quantitative information on the costs incurred during 1991 by research libraries for interlibrary lending and borrowing activities. Seventy-six (76) libraries participated in the project that was supported in part by a grant from the Council on Library Resources.

The Committee held its final meeting in May with representatives of ARL standing committees (Access, Management, Statistics & Measurement) to facilitate follow-up activities on the topic. The group also co-sponsored, with the Statistics & Measurement Committee, an informal meeting in June for project participants to discuss use of the cost study results.

Task Force on Future Online Library Information Systems

The Task Force is developing a proposal for a workshop that would explore the role of library systems in emergent scientific and technical information resource management models, such as the collaboratory process that was recently proposed by an NRC panel.

ARL Steering Committee for the Coalition for Networked Information

As part of the governance structure for the Coalition for Networked Information, each of the three sponsoring organizations (ARL, CAUSE, and EDUCOM) has three seats on the Coalition Steering Committee. ARL representatives to the committee are: David Bishop, Nancy Cline, and Sharon Hogan.

In February, the ARL Board reviewed the first three years of the Coalition and reaffirmed its desire to continue ARL sponsorship of this working relationship with EDUCOM and CAUSE. The Board recognized the extraordinary success of the CNI program and recommended that the Coalition focus and strengthen its activities on institutions of higher education. The Board also recommended a procedure to ensure opportunities for ARL input and influence over Coalition policy and program development.

The Higher Education Information Resources Alliance (HEIRAlliance)

In 1991, the ARL Board accepted an invitation from CAUSE and EDUCOM to form an alliance to identify cooperative ventures dealing with information resources management. The HEIRAlliance is a device that allows three-way, project-based cooperation. The initial project in September 1992 was production of a four-page briefing paper, "What Presidents Need to Know about the Integration of Information Technologies on Campus." A second report, issued in June 1993, was titled "What Presidents Need to Know About the Future of University Libraries: Technology and Scholarly Communication." This piece is drawn from the Mellon study, and its synopsis was prepared by Ann Okerson. Its issuance has generated considerable interest in research libraries and the full Mellon study.

IX. Office of Scientific and Academic Publishing

The objective of the Office of Scientific and Academic Publishing is to maintain and improve scholars' access to information. OSAP undertakes activities to understand and influence the forces affecting the production, dissemination, and use of scholarly and scientific information. The Office seeks to promote innovative, creative, and alternative ways of sharing scholarly findings, particularly through championing newly evolving electronic techniques for recording and disseminating academic and research scholarship. The Office also maintains a continuing educational outreach to the scholarly community in order to encourage a shared "information conscience" among all participants in the scholarly publishing chain: academics, librarians, and information producers. The capability is advanced, and OSAP receives guidance through the work of the ARL Committee on Scholarly Communication.

Campus and Scholarly Programs and Initiatives. Presentations by OSAP to administrators, faculty, editors, and/or librarians were made at the following institutions:

- University of Hawaii, May 1993
- Harvard University, May 1993
- Council of Biology Editors, May 1993
- National Research Council, June 1993
- North American Serials Interest Group, June 1993
- Association of American University Presses, June 1993
- American Mathematical Society, July 1993
- EDUCOM, August 1993
- Association of Earth Sciences Editors, September 1993
- American Institute of Physics and American Physical Society, September 1993
- Manitoba International Conference of Electronic Journals, October 1993
- STM group of publishers, October 1993
- SCONUL Serials Group, October 1993

Research, Consumer, Investigative Activities.

- The Firm Prices Working Group's effectiveness was tracked through reports from publishing and vendor communities.
- Continued meetings with the AMS, ACM, and APS outlining potential collaboration on electronic journal publishing developments.
- Collaborating on a course on electronic publishing for Graduate Library School, University of Michigan, 1/94 semester.
- Drafting grant proposal for survey of faculty electronic publishing; involving prospective Visiting Program Officer.
- A major OSAP activity was ten days spent at the University of Virginia Library as a Visiting Scholar while working on projects in the Electronic Text Center and the Electronic Image Center. It was a stimulating and enriching learning experience, as University of Virginia librarians and staff provided an education about current techniques in campus-wide information setup, electronic publishing, and imaging.

Publishing and Projects

• ***ARL Directory of Electronic Journals, Newsletters, and Academic Discussion Lists.*** The third edition of the Directory was distributed beginning May 17, 1993, through the new centralized (and highly effective) ARL/OMS publications unit. Increased in both its coverage and level of sophistication, it is proving to be a popular purchase for a wide variety of libraries and other organizations.

As of Summer 1993, Michael Strangelove, the compiler of the "Journals & Newsletters" section for the first three editions, institutionalized the project by turning over the responsibility to ARL. He became one of a team of people collaborating on the database and the fourth edition planned for 1994. OSAP has begun a database of electronic journals and newsletters in-house. Discussions have begun with the CONSER project so that the directory team will supply information for cataloguing of electronic serials to LC.

• **NewJour-L.** In August, an Internet list, moderated by the OSAP Director, was started to provide a place for creators of new electronic journals to report their plans and announcements to the subscriber list. This list currently stands at some 800 people. On average, about two new startups have been reported each week. NewJour-L supports the Directory project.

• **Visions and Opportunities in Not-For-Profit Publishing.** The proceedings of the second joint AAUP/ARL Symposium on Electronic Publishing (December 1992) have sold about 450 copies to date and have repaid the investment made by ARL in the cost of publication.

In August, the program for the third Symposium, scheduled in Washington, DC, for November 1993, was mailed. The University of Virginia Library is a co-sponsor for this meeting and is offering an optional tour to their Electronic Text Center as part of the event. As of the writing of this report (9/22/94), the 40-space Virginia Electronic Library tour is sold out and the Symposium's 100 places are almost sold out.

Publications by the OSAP Director

- Work has concentrated on electronic publishing projects.

- An electronic version of The Andrew W. Mellon Foundation study was produced during the spring. It was mounted for ftp and Gopher retrieval with the University of Virginia libraries as a principal Internet Site. In its first full month (July), it was the single most highly retrieved set of files at the University of Virginia.

- Publication of a short synopsis as HEIRA Report #2, led to about 200 retrieval inquiries for the electronic Mellon by e-mail.

- Currently, a hyperlinked version for World Wide Web is in preparation. This will be "demo"-ed at the ARL fall meeting.

- OSAP director converted *Texaco* briefs and *amicus* briefs for the Internet. The briefs made available through the good offices of the respective associations and attorneys were: ARL joint *amicus*; ALA *amicus*; *Texaco* filings; and AAP briefs. These are housed on both the CNI server and on the University of Virginia Library server.

- "The Changing Journals Environment," in *American Journal of Pharmaceutical Education*, 56:4 (Winter 1992), pp. 407-411.

- With Kendon Stubbs, in preparation for NCLIS: "Scholarly Communications Questions Answered and Unanswered: Reflections on T. Rex and Velociraptors," a position paper outlining measurement questions.

- Regular columns in ARL newsletter.

Highlights of Initiatives by Committees and Working Groups:

The Scholarly Communications Committee, along with the ARL Board, led in protesting Elsevier's movement from a single world currency to a dual-pricing policy for the first time in over ten years. The President of the ARL Board, the Chair of the Scholarly Communications Committee, and the Chair of the Firm Prices Working Group jointly sent a letter to the CEO of Elsevier in Amsterdam. The President of Elsevier, New York, will be meeting with the Firm Prices and Scholarly Communications groups during the October 1993 meeting.

The ARL Firm Subscription Prices Working Group continues to be visible during this time and has been innovative in reaching out to the distributor and publishing community on a specific issue involved with journals publishing. The letter, sent out under the chairmanship of Don Koepp, was circulated widely throughout the vendor and publisher communities. The directors of Irish and U.K. libraries prepared and signed similar letters.

The MIT libraries have proposed a working group under the Scholarly Communications Committee to explore in detail the topic of Internet archiving of electronic journals.

X. International Relations

The International Relations capability is designed to monitor activities, maintain selected contacts, identify developments on issues of importance to North American research libraries, and share experiences of North American research libraries that may contribute to the development of research libraries internationally. This capability draws on staff and projects across several ARL programs.

International issues played a strong role in the programming of the May 1993 ARL Membership Meeting focusing on the Pacific Rim. The program, *Gateway to the Pacific Rim: Information Resources for the 21st Century*, highlighted the key issues of East/West scholarship and research libraries' response. Panels examined efforts by the academic library community to respond to scholars' needs for enhanced access to resources, and trends in publishing, collecting, and foundation support to enhance access to Pacific Rim information resources.

The 59th Congress of the International Federation of Library Associations and Institutions (IFLA) meet in Barcelona, Spain, on August 22-27, 1993. The general theme of the conference was "The Universal Library," and sessions addressed technology and the potential for electronic communication in the delivery of information among many other topics. Fifty-seven ARL members currently belong to IFLA. Over a dozen ARL directors attended the meeting in Barcelona and were active contributors to the various IFLA working groups. Seventeen Americans were elected to various divisions, sections, and roundtables, including four ARL directors: Susan Nutter to the Section of University Libraries and other General Research Libraries, Joe Hewitt to the Interlending and Document Delivery Section, Joan Chambers to the Acquisition and Exchange Section, and Winston Tabb to the Section on National Libraries. Robert Wedgeworth, Interim University Librarian at the University of Illinois at Urbana, began his second year as President of IFLA. Papers were presented at the congress by Joseph Boissé, Lois Ann Colianni, Craig Summerhill, Duane Webster, and several other staff from ARL member libraries. The 1994 IFLA Congress will be held in Havana, Cuba. The theme will be "Libraries and Social Development."

ARL is working with the Library of Congress and a committee including representatives of several ARL members to plan a traveling exhibit for display in several locations within Russia entitled: "American Libraries and the Democratic Tradition." The project was proposed by Evgeny Kuzin, director of the Department of Libraries in the Russian Ministry of Culture, and is intended to acquaint Russian librarians and the Russian public with the practical implementation of ideals and ideas of democratic society in organizational patterns for American librarianship. John Cole at the Center for the Book is providing the coordination for the project, which will include development of a core exhibit of free-standing panels and a tour with discussion leaders from American librarianship.

XI. General Administration

General Administration encompasses overall coordination and management of the Association, program planning and strategy development, staffing, financial planning and strategy, space planning, fiscal control, and secretarial support and office operations.

Financial Status. The most recent financial report (August 1993) prepared by the accounting firm G.P. Graham indicates the Executive Office is 9% over budget for expenditures. Revenue is also running ahead of projections due to sale of investments, successful OSAP conference registrations and directory sales, contributions from other organizations cooperating on the Texaco brief, and administrative and direct cost fees paid by the Coalition for Networked Information and the National Humanities Alliance. The added revenue should allow a balanced budget overall by the end of the year. The Office of Research and Development is showing a $2,500 deficit. The Office of Management Studies has a $12,000 deficit. The nine-month financial report will be provided to the ARL Board of Directors for a third quarter review at the Fall membership meeting.

ARL 1994 Financial Strategy. At the July meeting of the ARL Board of Directors, discussion revolved around three main concerns in developing the Association's financial strategy for 1994: 1) the intense level of activity among the various programs, 2) the impact of inflation on maintaining current program capabilities, and 3) support for starting a new minority recruitment capability. Board discussions centered on cost cutting and reordering of program priorities to allow maintaining core activities. The Board concluded with a recommendation to the membership to increase dues in 1994 by $600 to the level of $12,600 annually. This dues increase coupled with roughly $45,000 of targeted cuts in operating costs will allow the Association to maintain core program priorities and to start a small minority recruitment capability.

Relocation of ARL Offices. Following the move to new office space at 21 Dupont Circle in March 1993, staff have settled into a very hospitable and effective working environment. The new space provides for the first time fully functionally work area for support staff to manage mailings and fulfill requests for publications and training materials. The new space also provides excellent conference and small group meeting space. This has allowed the Association to become a crossroads for various higher education groups to meet and work. The location of the new space on Dupont Circle provides convenient access by public transportation and is adjacent to the Higher Education Center at #1 Dupont Circle. Staff find the new space efficient from a functional point of view and estheticially pleasing on a day to day working basis.

Personnel Resources. Following six-months of interim work assignments, several permanent assignments were made as part of a reorganization and consolidation of Office operations. Jaia Barrett is serving as Deputy Executive Director, coordinating the ORD projects and ARL programs. Susan Jurow is Assistant Executive Director responsible for administrative operations and Board and membership meeting coordination. She continues as Director of the Office of Management Services. Brigid Welch is the Director of ARL Information Services, supervising the ARL and OMS communication and publications programs.

In the statistics/measurement program, Nicola Daval has returned on a part-time consulting basis to help operate the ARL Statistics Program and the salary surveys and publications. There is an active effort being made to recruit a new full time senior program officer for statistics and measurement. Over 40 resumes have been received after advertising in leading library, statistics, and operations research journals.s seeking candidates from beyond traditional library sources. Applicants come from a variety of backgrounds and present a wide range of experiences, though none yet appears to be a perfect match with the position. Six interviews have been conducted and the results of these discussions will be reviewed with the Statistics/Measurement committee at the October membership meeting to assess options for placement. While filling the position as soon as possible is important, it is also crucial that the right person be found. While the program officer search is underway significant progress has been made in designing and testing new software for the collection and analysis of ARL's annual statistics.

XII. Research and Development

The ARL Office of Research and Development consolidates the administration of grants and grant-supported projects administered by ARL. The major goal within this capability is to energize the ARL research agenda through the identification and development of projects in support of the research library community's mission as well as the development of funding support for those projects. The ARL Visiting Program Officer project is a part of this capability.

COMPLETED PROJECTS

NEH Preservation Planning Program Project

In June 1991 the National Endowment for the Humanities awarded ARL an 18-month grant of $59,933 to support the enhancement and revision of the Preservation Planning Program (PPP) resources. With this additional NEH funding, ARL updated the Preservation Planning Program Manual. The award also supported the development of a series of seven focused resource guides that assemble guidelines, procedures, checklists, and technical documentation related to the major components of a preservation program. A key feature of the project was the participation of ten preservation administrators in carrying out major portions of this further enhancement of preservation planning materials for research libraries. These enhanced PPP resources, the Program Manual and the Resource Guides, are available from the ARL Publications Department.

ARL-RLG Interlibrary Loan Cost Study

In early 1992, ARL and RLG undertook a joint project to collect 1991 cost data for interlibrary loan operations. The Council on Library Resources provided $10,000 in support of the project. Seventy-six libraries participated. In December 1992, each participating library received a confidential report with an analysis of their local costs. Highlights of the aggregate data were reported in January 1993 during ALA meetings and elsewhere; a brief report also appeared in the January ARL Newsletter. The project was concluded in June with issuance of a public report presenting detailed analysis of the aggregate data and with an informal discussion among study participants held in New Orleans during the summer ALA Annual Conference.

ONGOING PROJECTS

National Register of Microform Masters (NRMM) RECON Project.

ARL, in partnership with the Library of Congress, is administering the "Creation of Machine-Readable Cataloging for the NRMM Master File." ARL is using the RETROCON services of OCLC to produce the records. The Library of Congress is distributing the resulting tapes through its Cataloging Distribution Service. The goal of the project is the conversion into machine-readable records of approximately 529,000 monographic reports in the NRMM Master File, which represents the records for microform masters held by libraries, archives, publishers, and other producers.

In May 1992, the National Endowment for the Humanities, Division of Preservation and Access, awarded ARL a supplementary grant for the completion of the project for retrospective conversion of monographic records in the NRMM Master File. The processing of

the final 50,000 reports is almost completed, and the project will end in December 1993. At that point, all NRMM monographic reports that can be converted will be available in OCLC and RLIN for efficient, one-step searching.

The next phase of this multi-year effort is the start-up of the NRMM RECON Project for Serials. ARL, in partnership with Harvard University Library, the Library of Congress, and New York Public Library, has submitted a grant proposal for a project for retrospective conversion of the serials records in the NRMM Master File. The project envisions an institution-based, distributed approach. The goal of the project is to convert the NRMM serials records that are not yet available in the OCLC or RLIN databases, creating both bibliographic and holdings records in a machine-readable form. Funding is being sought from the National Endowment for the Humanities. (See next section of report.)

Scholarship, Research Libraries, and Foreign Publishing in the 1990s.

This ARL project is directed toward developing a clearer understanding of the forces influencing North American research libraries' ability to build collections of foreign materials. Its long-term goal is to mobilize major segments of the higher education community, including research libraries, in developing effective strategies and the resources needed to address scholars' foreign information needs. Support for the project is provided by The Andrew W. Mellon Foundation. The ARL Committee on Research Collections is serving as the Project Advisory Committee.

Project accomplishments to date include:

- Participation of all major foreign area library committees in the analysis of needs in foreign acquisitions.

- Analysis of international publishing output and of research libraries' acquisition and delivery of foreign imprint collections for Latin America and Western Europe.

- Start-up of six pilot test studies that will target foreign acquisitions from specific areas; completion of studies on Japan, Mexico, and Africa.

- Conducting and publishing a survey of cooperative collection development programs in foreign acquisitions in ARL libraries.

- Sponsorship with the American Academy of Arts and Sciences, Midwest Center, of two meetings to bring together scholars and foreign area bibliographers.

- Establishment of the Association of American Universities' Acquisition and Distribution of Foreign Language and Area Studies Materials Task Force to assist in identifying strategies to strengthen acquisitions of foreign materials.

- Building a partnership with the Association of International Education Administrators to further the goals of international higher education.

The key 1994 strategy is the development of demonstration projects that would show how different world areas can be incorporated into an overall program of distributed access to and delivery of foreign acquisitions.

Latin American Studies Project

Dr. Dan C. Hazen, Selector for Latin America, Spain, and Portugal in the Harvard College Library, is serving as ARL Visiting Program Officer for a Latin American Studies assessment project. Scheduled for completion in November 1993, the project aims to evaluate

the progress in providing machine-readable access to bibliographic records in Latin American studies in North American research libraries and to assess the extent to which past efforts and current RECON and preservation programs have addressed Latin Americanists' needs. ARL plans to publish the report of Dr. Hazen's investigation in December 1993. The Harvard College Library is supporting Dr. Hazen's project. Additional project budget support is provided by the Research Libraries Group and ARL libraries that have participated in the Latin American Recon Project.

North American Interlibrary Loan/Document Delivery Project

The ARL Committee on Access to Information Resources has initiated a series of discussions concerning the future of interlibrary loan operations and document delivery alternatives. A white paper, *Maximizing Access, Minimizing Costs*, that was written for the Committee by Shirley Baker and Mary Jackson, ILL Librarian at the University of Pennsylvania, reflects the committee discussions and suggests further ARL activities to improve ILL and document delivery options for research library users. The University of Pennsylvania provided Mary Jackson with an eight-month leave of absence (May to December) to serve as ARL Visiting Program Officer and to provide staff support for the Committee's agenda in this arena. Partial funding to support this VPO initiative has been provided by the University of Pennsylvania and the Council on Library Resources; additional requests will be made to other agencies.

GIS Literacy Project

With continued support from ESRI, a GIS software company, the ARL GIS Literacy Project was extended and expanded. This was made possible in part by a grant of $26,850 from the H.W. Wilson Foundation. Phase II of the project brought 35 more libraries with GIS training last November, bringing the total number of libraries supplied with software and GIS training to 66. A focus for 1994 is networked-based sharing of spatial data. Phase III, targeted for Canadian members, is in the planning stages with implementation planned for early 1994.

NACS-ARL Reserve Room Custom Publishing Project

ARL and the National Association of College Stores (NACS) met in July 1992 to discuss a project to explore cooperation between libraries and campus stores in developing custom publishing services for material usually placed on reserve. Diane Harvey represented ARL at an informal follow-up meeting with some library project participants held in conjunction with ALA in New Orleans. Although interest by member libraries continues to be high, project implementation has been delayed at several institutions for reasons of funding and/or other local project priorities. The Executive Director attended a NACS meeting in September to discuss the NACS decision to terminate their copyright permissions service and to determine the interest of the organization in continuing the Reserve Room project as a joint effort.

ARL-AAU Action Agenda

In 1992, ARL and the Association of American Universities established a joint action agenda to address critical issues facing research libraries. The three agenda items are: availability of foreign publications and area studies resources; intellectual property in an electronic environment; and management of STI. Following this step, AAU launched a Research Libraries Project under the direction of a steering committee comprised of five AAU presidents and now chaired by Myles Brand, President of the University of Oregon. Last fall, three task forces were established (each linked to one of the three agenda topics) and met initially in Chicago last January. Since January, each task force has met individually a number of times; and together again in August. The September issue of the ARL newsletter contains a report on the project. In addition, interim reports will be made to the AAU and ARL membership meetings held in October. ARL and Coalition for Networked Information staff serve as resources for the three task forces; the project is supported with a grant from The Andrew W. Mellon Foundation. The project is scheduled to conclude in April 1994.

ARL-NCC Project on Electronic Information Resources

In May 1993, the Japan–U.S. Friendship Commission awarded ARL a planning grant of $13,300 for developing pilot projects that will help Japanese studies librarians clarify the strategic choices facing libraries that administer Japanese studies collections to gain practical experience with electronic technologies and to test different approaches to information access and provision. This is a joint project with the National Coordinating Committee for Japanese Library Resources (NCC). Three pilot projects are currently in the early development stage.

PROJECTS UNDER DEVELOPMENT

Cultural Diversity Partnerships: Minority Recruitment to Graduate Library Education Programs

The OMS Cultural Diversity Program, working with the ARL Minority Recruitment Task Force, has proposed a new initiative to establish stronger ties between library and information science programs, libraries and library associations, consortia, and networks. A proposal is under development to establish a partnership with library school faculties that would strengthen diversity and recruitment strategies within library education graduate programs. The purpose of the partnership is to increase the number of people from underrepresented groups in ARL libraries. A letter to determine interest in funding such a project was sent to the Ford Foundation and to the Delmas Foundation.

ARL-CLR Seminar on Research Library Measurement Tools and Techniques

The goal of such a seminar is to characterize and discuss the kinds measurement and assessment questions and decisions faced by directors of research libraries, with experts from the fields of operations research, business, economics, and public policy to determine if there are tools or techniques in other fields that may be applicable for libraries. CLR has expressed a desire to support such a program. In October an advisory committee was established to formulate questions to be addressed in a seminar on research library measurement tools and techniques. Informal discussion with some committee members took place in January, during ALA. The committee met for the first time during the May membership meeting and recommended to proceed to develop the event in conjunction with recruitment of a Senior Program Officer for Statistics & Measurement. Timing is tentatively scheduled for February 1994 in conjunction with the ALA Midwinter meeting in Los Angeles.

ARL Statistics and Measurements Program

In October 1992, the ARL Membership approved a dues increase to allow an expansion of the statistics program into areas of measuring the organizational performance and effectiveness of research libraries. This increase brings the total dues allocation to this program to a level of $38,600. Under development is a proposal to match this level of investment by research libraries in order to support an accelerated pace of development for the expanded statistics and measurement program. This would support a 6-9 month overlap between the current transition team staff (Nicola Daval and Patricia Brennan) and the new Senior Program Officer for Statistics and Measurement, allowing the new officer to focus on "breakthrough" goals for the program with assistance from the transition staff to manage the ongoing statistical surveys and publications.

National Register of Microform Master (NRMM) RECON Project for Serials

ARL, in partnership with Harvard University Library, the Library of Congress, and New York Public Library, has begun planning for a project for retrospective conversion of the serials records in the NRMM Master File. The project envisions an institution-based, distributed approach. ARL would serve as the project administrator and is working initially with this core group of three institutions to convert large numbers of NRMM serials reports. The

goal of the project is to convert the NRMM serials records that are not yet available in the OCLC or RLIN databases, creating both bibliographic and holdings records in a machine-readable form. Funding has been sought from the National Endowment for the Humanities.

ILL & Document Delivery

Discussions are underway with the Council on Library Resources and the H. W. Wilson Foundation to develop projects to measure document delivery, initiate training for reconceptualizing ILL and document delivery services, and undertake a process to extend standards or develop new standards for resource sharing in an electronic environment. Project development is being coordinated with the ARL NAILLED Project, the CNI agenda, and the AAU STI Task Force.

MEMBER SUPPORT OF ARL VISITING PROGRAM OFFICERS

The ARL Visiting Program Officer program provides an opportunity for a staff member in a member library to assume responsibility for carrying out part or all of a project for ARL. It provides a very visible staff development opportunity for an outstanding staff member and serves the membership as a whole by extending the capacity of ARL to undertake additional activities.

Typically, the member library supports the salary of the staff person, and ARL seeks grant funding to cover travel or other project-related expenses. Depending on the nature of the project and the circumstances of the individual, a Visiting Program Officer may spend extended periods of time in Washington, DC, or they may conduct most of their project from their home library. In either case, contact with ARL staff and a presence in the ARL offices is encouraged, as this has proved to be mutually beneficial for the VPO and for ARL. To discuss candidates who might contribute to ARL programs by serving as a Visiting Program Officer, contact Jaia Barrett.

During the previous six months, the following institutions have supported or announced their intention to support ARL Visiting Program Officers.

Harvard University: Dan Hazen, for a Latin American Studies Assessment Project, with Jutta Reed-Scott.

University of Pennsylvania: Mary Jackson, to support the work of the Interlibrary Loan and Document Delivery Subcommittee of the ARL Committee on Access to Information Resources, with Jaia Barrett.

University of Toronto: Gayle Garlock, to assist with the Foreign Acquisitions Project, with Jutta Reed-Scott.

Appendix: Coalition for Networked Information

PROGRAM OVERVIEW

July 1, 1993 through June 30, 1994

BACKGROUND

The Coalition for Networked Information was founded in March 1990 to help realize the promise of high performance networks and computers for the advancement of scholarship and the enrichment of intellectual productivity. The Coalition is a partnership of the Association of Research Libraries (ARL), CAUSE, and EDUCOM.

The Coalition pursues its mission with the assistance of a task force of one-hundred and ninety-one institutions and organizations that provides focus and resources which are crucial to the ability of the Coalition to articulate and explore shared visions of how information management must change in the 1990s to meet the social and economic opportunities and challenges of the 21st century. Members of the Coalition Task Force include higher education institutions, publishers, network service providers, computer hardware, software, and systems companies, library networks and organizations, and public and state libraries.

INITIATIVES

- **Intellectual property and the economics of networked information.**

  The Coalition's lead initiative in this area is the Rights to Electronic Access to and Delivery of Information (READI) Project. In the upcoming year, the READI Project will produce a guide to issues, positions, and business logics pertaining to licensing networked information resources and services, will produce a draft license for buyers and will promote discussion of public interest issues and provisions as regards such licenses. The Coalition will issue a white paper on life-cycle management, with particular attention to cost and value generation, of both networked and printed information. In addition, the Coalition will promote discussion of various ways and means, and of the relative benefits and drawbacks of each, for incorporating advertising into networked information resources and services.

- **Network and networked information navigation and navigators.**

  The Coalition's lead initiative in this area is the TopNode Directory of Network Directories and Resource Guides (TopNode) Project. In the upcoming year, the database resulting from the TopNode Project will be made available to the Internet community via BRS Search, gopher, and WAIS, and the TopNode Project will promote collaboration among library and information technology groups (e.g., MARBI and IETF) regarding data elements, tools, and services by which to describe and locate networked information resources and services. The Coalition will also produce a white paper on trends and issues regarding networked directories and resource information services, and will develop a professional development program on network and networked information navigational skills, tools, and services that will be offered via the Internet itself.

- **Networked information architectures and standards.**

The Coalition's main interest in this area is the wide implementation and rich enhancement of the Z39.50 inter-system information search and retrieval protocol. In the upcoming year, the Coalition will pursue this interest through its support of the Z39.50 Implementation Testbed and participation in the Z39.50 Implementor's Group. The Coalition will also produce a white paper on the architectural and other challenges and barriers of networked multi-media document delivery and information resources and services, and will promote cross-fertilization and coordination among experts who work under auspices of IETF, NISO, and other relevant standards developing organizations.

- **Access to networked public information.**

  The Coalition's lead initiative in this area is the Access to Public Information Program (APIP), announced this past March. In the upcoming year the Coalition will take the first step(s) in each of the seven components of the APIP Program: envisioning the future of access to and delivery of networked federal information; improving depository library connectivity to and programming of networked federal information; recruiting a visiting program officer to work with federal agencies; identifying and locating networked federal resources; arranging for a modem service for Internet access to DC-area federal dial-up services; coordinating the making of existing electronic information available over the Internet; and, promoting education and providing information.

- **Institutional networked information readiness, policies, and strategies.**

  In the upcoming year, a number of Coalition initiatives will focus on the broad and crucial area of institutional readiness factors, institutional operating structures, processes, and policies, and institutional change issues and strategies. The Coalition will develop a check-list of ways to prepare for and to cope with occasions when problematic network situations occur, will develop a regional workshop for building productive relationships between information technologists and librarians that recognize and manage important differences between their respective cultures and approaches to problem-solving, will call attention to projects that demonstrate the innovative use of networks and networked information to improve the administrative functioning of institutions and organizations, and will disseminate one set of modules of information that can be used when formulating and addressing institutional issues and a second set of modules of information that can be used when introducing selected new communities to networks and networked information.

- **Teaching and learning, and the humanities, arts, and social sciences.**

  In the upcoming year, the Coalition will promote the full realization of the promise of networks and networked information throughout the entire research and education enterprise by highlighting exemplary programs that use networked information resources and services for teaching and learning, by exploring effective means to stimulate and facilitate faculty use of the Internet, and by developing a new initiative to promote creation and use of networked information resources and services in the humanities, arts, and social sciences.

CAPABILITIES

In the upcoming year, the Coalition will promote the use of and understanding of networked information resources and services through its own Internet server(s), will facilitate collaborative projects undertaken by its members, will stimulate and assist cross-sector communication among individuals and organizations who hold stakes in the use of networks for communication and publication, will convene two meetings of its Task Force, will hold at least one open-registration regional briefing, and will promote general communication and understanding via the publications, meetings, conferences, and public policy activities of ARL,

CAUSE, and EDUCOM.

For further information contact: Joan K. Lippincott, Assistant Executive Director, Internet: joan@cni.org

APPENDIX III

123rd ARL Membership Meeting

Ritz-Carlton Hotel, Pentagon City, VA

October 20-22, 1993

ATTENDANCE

Member Institution	Represented by
University of Alabama Libraries	Charles Osburn
University of Alberta	Ernie Ingles
University of Arizona	Carla Stoffle
Arizona State University Library	Sherrie Schmidt
Auburn University Library	William Highfill
Boston University Library	Robert Hudson
Boston Public Library	Arthur Curley
Brigham Young University Library	Sterling Albrecht
University of British Columbia	Ruth Patrick
Brown University Library	Florence Doksansky
University of California, Berkeley	Dorothy Gregor
University of California Davis	Marilyn Sharrow
University of California-Irvine	Judith Paquette
University of California, Los Angeles	Gloria Werner
University of California Riverside	James Thompson
University of California-San Diego	Gerald Lowell
University of California-Santa Barbara	John Vasi
Canada Institute for Scientific & Technical Info.	Margot Montgomery
Case Western Reserve University Libraries	Kaye Gapen
Center for Research Libraries	Donald Simpson
University of Chicago Library	Martin Runkle
University of Cincinnati	David Kohl
University of Colorado Libraries	James Williams
Colorado State University	Joan Chambers
Columbia University Libraries	Elaine Sloan
University of Connecticut	[not represented]
Cornell University Libraries	Alain Seznec
Dartmouth College Libraries	Margaret Otto
University of Delaware	Susan Brynteson
Duke University Libraries	Jerry Campbell
Emory University Library	Joan Gotwals
University of Florida	Dale Canelas
Florida State University	Charles Miller
Georgetown University Library	Susan Martin
University of Georgia	William Potter
Georgia Institute of Technology	[not represented]

Member Institution	Represented by
University of Guelph Library	John Black
Harvard University Library	Richard De Gennaro
University of Hawaii	John Haak
University of Houston Libraries	Robin Downes
Howard University Libraries	Ann Randall
University of Illinois at Chicago	Sharon Hogan
University of Illinois at Urbana	Robert Wedgeworth
Indiana University Libraries	James Neal
University of Iowa Libraries	Larry Woods
Iowa State University Library	Nancy Eaton
Johns Hopkins University Library	Scott Bennett
University of Kansas Libraries	William Crowe
Kent State University Libraries	Don Tolliver
University of Kentucky Libraries	[not represented]
Laval University Library	Claude Bonnelly
Library of Congress	Winston Tabb
Linda Hall Library	Lee Jones
Louisiana State University Library	Jennifer Cargill
McGill University Library	Eric Ormsby
McMaster University Library	Graham Hill
The University of Manitoba	Carolynne Presser
University of Maryland Libraries	Joanne Harrar
University of Massachusetts Libraries	Richard Talbot
Massachusetts Institute of Technology Libraries	Jay Lucker
University of Miami Library	Frank Rodgers
University of Michigan Library	William Gosling
Michigan State University Library	Hiram Davis
University of Minnesota Libraries	Tom Shaughnessy
University of Missouri Library	Martha Alexander
National Agricultural Library	Joseph Howard
National Library of Canada	Marianne Scott
National Library of Medicine	Lois Ann Colaianni
University of Nebraska-Lincoln	Kent Hendrickson
University of New Mexico	[not represented]
New York Public Library	Paul Fasana
New York State Library	Jerome Yavarkovsky
New York University Libraries	[not represented]
University of North Carolina Library	Joe Hewitt
North Carolina State University	Susan Nutter
Northwestern University Libraries	David Bishop
University of Notre Dame Libraries	Maureen Gleason
Ohio State University Libraries	William Studer
University of Oklahoma	Sul Lee
Oklahoma State University	Edward Johnson
University of Oregon Library	George Shipman
University of Pennsylvania Libraries	Paul Mosher
Pennsylvania State University Library	Nancy Cline
University of Pittsburgh Libraries	Paul Kobulnicky
Princeton University Libraries	Nancy Klath
Purdue University Library	Emily Mobley
Queen's University Library	Paul Wiens
Rice University Library	Beth Shapiro

Member Institution	Represented by
University of Rochester Libraries	[not represented]
Rutgers University Library	Frank Polach
University of Saskatchewan	Frank Winter
Smithsonian Institution Libraries	Barbara Smith
University of South Carolina	Homer Walton
University of Southern California	Peter Lyman
Southern Illinois University Library	Carolyn Snyder
Stanford University Libraries	Michael Keller
State University of New York at Albany	Meredith Butler
State University of New York at Buffalo	Barbara von Wahlde
State University at New York at Stony Brook	John Smith
Syracuse University Library	David Stam
Temple University Library	James Myers
University of Tennessee Libraries	Paula Kaufman
University of Texas Libraries	Harold Billings
Texas A&M University Library	Fred Heath
University of Toronto Libraries	Carole Moore
Tulane University Library	Phil Leinbach
University of Utah Libraries	[not represented]
Vanderbilt University Library	[not represented]
University of Virginia Library	Karin Wittenborg
Virginia Polytechnic Inst. & State University	Joanne Eustis
University of Washington Libraries	Betty Bengtson
Washington State University Libraries	Nancy Baker
Washington University Libraries	Shirley Baker
University of Waterloo	Murray Shepherd
Wayne State University Libraries	Peter Spyers-Duran
University of Western Ontario	[not represented]
University of Wisconsin Libraries	Kenneth Frazier
Yale University Libraries	Millicent Abell
York University Libraries	Ellen Hoffmann

Speakers and Guests	Represented by
Andrew W. Mellon Foundation	Richard Ekman
Association of American Universities	John Vaughn
Bellcore	Thomas Spacek
University of California	Richard West
University of Illinois–Chicago	Nancy Johns
Chronicle of Higher Education	Judith Turner
Commission on Preservation and Access	Patricia Battin
Computer Systems Policy Project	Kenneth Kay
Computing Research Association	Frederick Weingarten
University of Connecticut	Jan Merrill-Oldham
Council on Library Resources	Julia Blixrud
Council on Library Resources	Martin Cummings
Council on Library Resources	David Penniman
University of Delaware	Ferris Webster
Department of Education	Ray Fry

Speakers and Guests	Represented by
EDUCOM	Robert Heterick, Jr.
ESRI	Charlie Fitzpatrick
Harvard University	Brian Kahin
Industry and Science Canada	Jocelyn Ghent Mallett
Library of Congress	Diane Kresh
Library of Congress	William Sittig
Library of Congress	Sarah Thomas
University of Massachusetts	Gordon Fretwell
University of Michigan	John D'Arms
University of Minnesota Press	Lisa Freeman
National Archives & Records Administration	Lisa Weber
National Coalition on Black Voter Participation	Sonia Javis
National Endowment for the Humanities	George Farr
University of North Carolina	Laura Gasaway
OCLC, Inc.	Wayne Smith
Office of Science and Technology Policy	Michael Nelson
Pennsylvania State University	Richard Taylor
Research Libraries Group	James Michalko
Universities Space Research Association	Kathleen Eisenbeis
Squire, Sanders and Dempsey	Susan Weller
Stanford University	Robert Street
State of North Carolina	Jane Smith Patterson
University of Virginia	Kendon Stubbs
University of Virginia	John Price-Wilkin
University of Virginia	David Seaman
University of Virginia	Paul Bergen
University of Wisconsin	Henry Barschall
Wilson Library Bulletin	GraceAnne DeCandido

ARL Staff

Adler, Prudence	Assistant Executive Director-Federal Relations and Info. Policy
Barrett, Jaia	Deputy Executive Director, and Director of Research & Development
Brooks, Mary Jane	Office Manager
Daval, Nicola	Consultant, ARL Statistics Program
Harvey, Diane	Program Associate
Jackson, Mary	ARL Visiting Program Officer
Jennings, Kriza	OMS Diversity Consultant
Jurow, Susan	Assistant Executive Director for Admin. and Director, OMS
Lippincott, Joan	Associate Executive Director, Coalition for Networked Information
Okerson, Ann	Director, Office of Scientific and Academic Publishing
Peters, Paul	Executive Director, Coalition for Networked Information
Reed-Scott, Jutta	Senior Program Officer for Access and Collections Services
Sullivan, Maureen	OMS Organization Development Consultant
Summerhill, Craig	Systems Coordinator, Coalition for Networked Information
Webster, Duane	Executive Director
Welch, Brigid	Director of Information Services

APPENDIX IV

THE ASSOCIATION OF RESEARCH LIBRARIES - OFFICERS AND MEMBERS OF THE BOARD OF DIRECTORS, COMMITTEES AND WORK GROUPS

OCTOBER 1993

ARL OFFICERS AND BOARD FOR OCT. 92 - OCT. 93

Susan K. Nutter,	President	(Oct. 1989 - Oct. 1994)
John Black	Vice President and President Elect	(Oct. 1991 - Oct. 1994)
Arthur Curley,	Past President	(Oct. 1989 - Oct. 1993)
Jerry D. Campbell		(Oct. 1990 - Oct. 1993)
Dale B. Canelas		(Oct. 1992 - Oct. 1995)
Joan Chambers		(Oct. 1990 - Oct. 1993)
Nancy Cline		(Oct. 1991- Oct. 1994)
Sul H. Lee		(Oct. 1991 - Oct. 1994)
Emily R. Mobley		(Oct. 1990 - Oct. 1993)
George W. Shipman		(Oct. 1992 - Oct. 1995)
David H. Stam		(Oct. 1992 - Oct. 1995)

GOVERNANCE COMMITTEES

Executive Committee (1992-93)

Susan K. Nutter
John Black
Arthur Curley

Staff: Duane Webster

Committee on Nominations (1993)

John Black, ARL Vice President, Chair
Dorothy Gregor
Donald W. Koepp

Steering Committee for Coalition for Networked Information (ARL Representatives)

David Bishop (1993-96)
Nancy Cline (1991-94)
Jerome Yavarkovsky (1990-93)

Task Force on Association Membership Issues

John Black
Margaret Otto
Kendon L. Stubbs
Gloria Werner, Chair

Staff: Nicola Daval

STANDING COMMITTEES

Standing committees oversee issues related to the ARL Strategic Program Objectives. Members are appointed by the ARL Executive Committee for three-year terms (calendar year). Appointments are renewed only in exceptional cases. Chairs are appointed for two-year terms, renewable once.

Information Policies Committee

Scott Bennett (1993-95)
John Black (1992-94)
Jennifer Cargill (1993-95)
Nancy Cline (1991-93)
Hiram Davis (1992-94)
Joanne Euster (1993-95)
Kenneth Frazier (1993-95)
David Kohl (1992-94)
Jay K. Lucker (1993-95)
Carlton C. Rochell (1991-93)
Carolyn Snyder (1993-95)
James Neal (1992-94), Chair (1993-94)

Staff: Prue Adler

Access to Information Resources Committee

Shirley K. Baker (1993-95)
Susan Brynteson (1992-94)
Paul Fasana (1991-93)
Malcolm Getz (1992-94)
Paul Mosher (1993-95)
William G. Potter (1991-93)
Carolynne Presser (1993-95)
Martin Runkle (1992-94)
Marianne Scott (1992-94)
Barbara Smith (1993-95)
Gloria Werner (1991-93)
Nancy L. Eaton (1990-92), Chair (1991-92)

Sarah Thomas, Library of Congress Liaison

Staff: Jaia Barrett

Research Collections Committee

H. Joanne Harrar (1991-93)
Philip E. Leinbach (1991-93)
Ruth Patrick (1992-94)
Ann Randall (1992-94)
Donald Riggs (1993-95)
Marilyn Sharrow (1993-95)
Donald Simpson (1992-94)
Peter Spyers-Duran (1992-94)
Dale B. Canelas (1991-93), Chair (1993-94)

William Sittig, Library of Congress Liaison

Staff: Jutta Reed-Scott

Preservation of Research Library Materials Committee

Martha Bowman (1992-94)
Dorothy Gregor (1992-94)
Donald W. Koepp (1991-93)
John Laucus (1993-95)
Carole Moore (1991-93)
Eric Ormsby (1993-95)
Margaret Otto (1993-95)
Alain Seznec (1993-95)
Robert Street (1992-94), Chair (1993-94)

Kenneth Harris, Library of Congress Liaison
Jan Merrill-Oldham, University of Connecticut (Consultant)

Staff: Jutta Reed-Scott

Management of Research Library Resources Committee

Nancy Baker (1992-94)
Claude Bonnelly (1992-94)
Arthur Curley (1989-92)
William J. Crowe (ex officio as chair of Statistics Advisory Ctte.)
John Haak (1993-95)
Paul Kobulnicky (1993-95)
Robert Migneault (1992-94)
Robert C. Miller (1991-93)
Catherine Quinlan (1992-94)
Beth Shapiro (1993-95)
Elaine F. Sloan (1991-93)
Merrily Taylor (1993-95)
Paul Willis (1993-95)
Kent Hendrickson , Chair (1993-94)

Staff: Susan Jurow
Brigid Welch

Scholarly Communication Committee

Lois Ann Colaianni (1992-94)
Sheila D. Creth (1991-93)
Paula Kaufmann (1993-95)
Sherrie Schmidt (1993-95)
Jim Thompson (1993-95)
Robert Wedgeworth (1993-95)
James F. Williams (1992-94)
Barbara von Wahlde (1992-94)
Paul Wiens (1993-95)
Arthur P. Young (1991-93)
Millicent D. Abell (1992-94), Chair (1993-94)

Staff: Ann Okerson

ARL Committee on Statistics and Measurement

William Highfill (1993-95)
Graham R. Hill (1992-94)
Ellen Hoffmann (1993-95)
Edward Johnson (1993-95)
Ernie Ingles (1991-93)
Peter Lyman (1992-94)
Susan K. Martin (1992-94)
Frank Rodgers (1993-95)
William Studer (1993-95)
William J. Crowe (1991-93), Chair (1993-94)

Gordon Fretwell, University of Mass. (Consultant)
Kendon L. Stubbs, Univ. of Virginia (Consultant)

Staff: Nicola Daval

ADVISORY COMMITTEES AND TASK FORCES

These "action groups" work on specific projects and programs of the Association. They are permanent or temporary as appropriate.

Advisory Committee on the Office of Management Services

Joanne R. Euster (1993-94)
Don Tolliver (1992-94)
Kent Hendrickson, Chair (1993-94)

Staff: Susan Jurow

Advisory Committee on ARL/CLR Project on Research Library Measurement Tools and Techniques

William Crowe
Joanne R. Euster
Malcolm Getz
Kent Hendrickson

Staff: Jaia Barrett
Susan Jurrow

ARL/RLG Interlibrary Loan Cost Study Project

Dale Canelas
William Crowe
Malcolm Getz
Joan Chambers, Chair

David Ferriero, MIT (Consultant)

Staff: Jutta Reed-Scott
Jaia Barrett

Working Group on Minority Recruitment Initiatives

Meredith Butler
Hiram L. Davis
George W. Shipman, Chair

Gloria DeSole, SUNY–Albany (Consultant)

Staff: Kriza Jennings

Working Group on Scientific and Technical Information (1993)

Betty G. Bengtson
Joseph A. Boissé
Susan K. Nutter
Marilyn J. Sharrow
Margaret Montgomery

Staff: Jaia Barrett

Program Committee for May 1993

Jennifer Cargill
Sheila Creth
George W. Shipman
Carolyn Snyder
John R. Haak, Chair

Staff: Duane Webster
Susan Jurow

Working Group on Review of NEH Preservation Program (1992-93)
(Advisory Group reporting to the ARL Preservation Committee)

Sherry Byrne (Chicago)
Michael Keller (Yale)
Anne Kenney (Cornell)
Carolyn Morrow (Harvard)
Barclay Ogden (California–Berkeley)
David H. Stam
Gerry Munoff, Chair (Chicago)

Staff: Jutta Reed-Scott

Task Force on Preservation Planning

Ross Atkinson (Cornell)
Patricia Battin (Commission on Preservation and Access)
Kenneth Harris (Library of Congress)
Jan Merrill-Oldham (Connecticut)
Carole Moore, Canadian Liaison
Carolyn Morrow (Harvard)
Barclay Ogden (California–Berkeley)
Gene Wiemers (Northwestern)
Robert Street, Chair

Staff: Jutta Reed-Scott

Task Force on Foreign Acquisitions Project
[Advisory Group of AUL's reporting to the ARL Research Collections Committee]

Ross Atkinson (Cornell)
Tony Angiletta (Stanford)
Dale Canelas (ex officio as chair of Research Collections Committee)
Carl Deal (Illinois)
David Farrell (Calif.-Berkeley)
Anthony Ferguson (Columbia)
Gayle Garlock (Toronto)
Linda Gould (Washington)
Michael Keller (Yale)
Heike Kordish (NYPL)
Karen Wittenborg (California-Los Angeles)
William Sittig (LC)

Staff: Jutta Reed-Scott

Task Force on Future Online Library Information Systems

Charles E. Miller
Paul H. Mosher
Merrily Taylor
Paula T. Kaufman, Chair

Staff: Jaia Barrett

REPRESENTATIVES/LIAISONS

American Council of Learned Societies	Duane Webster
Association of American Publishers	Ann Okerson
Association of American Universities	Duane Webster/Prue Adler
Association of American University Presses	D. Webster/Ann Okerson
Association for Information and Image Management, National Standards Council	Jutta Reed-Scott
CAUSE (College and University Systems Exchange)	Arthur P. Young
Consortium of Social Science Associations (COSSA)	Prue Adler
EDUCOM	D. Webster
Eighteenth-Century Short Title Catalogue	Paul Mosher
IFLA Voting Representative	D. Webster
International Copyright Panel of the Advisory Committee on International Intellectual Property	Prue Adler
LC Network Advisory Committee	Prue Adler
LC Cataloging in Publication Advisory Committee	Collin B. Hobert, Iowa State
National Humanities Alliance	D. Webster
National Information Standards Organization Voting Representative	Jaia Barrett
National Institute of Conservators	David Stam
Society of American Archivists	Herbert Finch, Cornell
Society for Scholarly Publishing	Ann Okerson

October 1993

APPENDIX V

MEMBERSHIP ROSTER
with FAX and EMail Numbers

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